

FINANCIAL DISCLOSURE REPORT FOR CALENDAR YEAR 2014

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) WHIPPLE, HAROLD D.	2. Court or Organization Western District of Missouri	3. Date of Report 04/16/2015
4. Title (Article III judges indicate active or senior status; magistrate judges indicate full- or part-time) U. S. DISTRICT JUDGE (Senior Status)	5a. Report Type (check appropriate type) ☐ Nomination ☐ Date ☐ Initial ☒ Annual ☐ Final 5b. ☐ Amended Report	6. Reporting Period 01/01/2014 to 12/31/2014
7. Chambers or Office Address 8462 Chas. Evans Whittaker Crt 400 East 9th Street Kansas City, MO 64106		
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.)

POSITION

NAME OF ORGANIZATION/ENTITY

1.		
2.		
3.		
4.		
5.		

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

☒ NONE (No reportable agreements.)

DATE

PARTIES AND TERMS

1.	
2.	
3.	

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WHIPPLE, HAROLD D.

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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.)*

DATE	SOURCE AND TYPE	INCOME (yours, not spouse's)
1. 2014	Missouri Judges Retirement System - Pension	\$45,658.00
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 AND TYPE
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.)*

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

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Name of Person Reporting
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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

WHIPPLE, HAROLD D.

Date of Report

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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. Woodlands, Dallas Co., MO		None	L	W					
2. Woodlands, Dallas Co., MO		None	K	W					
3. Office Bldg., Lebanon, MO		None	K	W					
4. 1/2 Owner woodlands, Laclede Co., MO		None	J	W					
5. 1/3 Owner woodlands, Lebanon, MO		None	K	W					
6. Ally Demand Notes	A	Interest	L	T					
7. Bank of America Accounts	A	Interest	N	T					
8. Mid-Missouri Bank Account	A	Interest	M	T					
9. Federated Total Return Bond Fund	B	Dividend	K	T					
10. Vanguard Developed Markets Index	A	Dividend	K	T					
11. Vanguard Institutional Index	A	Dividend	L	T					
12. Dimensional Fund Advisors Investment Dimensions Group	D	Dividend	N	T	Buy (add'l)	02/04/14	J		
13. IRA #1	D	Dividend	N	T					
14. -- AIM Invesco European Growth Fund CL A									
15. -- AIM Invesco American Franchise CL A									
16. --AIM Invesco Moderate Allocation CL A									
17. Pim. Comm.	A	Dividend			Sold	02/28/14	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	

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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. Vanguard Inflation Protected	B	Dividend	L	T					
19. Vanguard Index Funds Grw Idx Signal	B	Dividend	L	T					
20. Central Bank Accounts	A	Interest	L	T					
21. Academy Bank	A	Interest	M	T					
22. Federated High-Yield Bond	B	Dividend	K	T	Buy (add'l)	06/06/14	J		
23.					Buy (add'l)	09/03/14	J		
24.					Buy (add'l)	12/29/14	J		
25. Federated Ultra-Short Bond	A	Dividend	J	T	Buy (add'l)	09/03/14	J		
26.					Buy (add'l)	11/21/14	J		
27. Vanguard Short-Term Inv. Grade	B	Dividend	L	T	Buy (add'l)	09/03/14	J		
28. Vanguard Int-Term Inv. Grade	A	Dividend	K	T					
29. AQR Diversified	A	Dividend	K	T	Buy (add'l)	03/17/14	J		
30.					Sold (part)	12/24/14	J		
31. Aberdeen Emerging Mkts	A	Dividend	J	T	Buy (add'l)	09/03/14	J		
32. Cohen & Steers Realty(x)	A	Dividend	J	T	Buy	10/21/14	J		
33. Eaton Vance Floating	B	Dividend	K	T	Buy (add'l)	01/27/14	J		
34.					Buy (add'l)	06/06/14	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	

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Name of Person Reporting

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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.					Buy (add'l)	12/29/14	J		
36.					Sold	11/14/14	K		
37. Federated Strategic	B	Dividend	K	T	Sold (part)	02/14/14	J		
38. Fidelity Contrafund Inc.	C	Dividend	K	T	Sold (part)	02/04/14	J		
39. Voya Global Real Estate FD CL I (formerly ING Global Real Estate)	A	Dividend	K	T					
40. Loomis Sayles Global Bond	A	Dividend	K	T	Buy (add'l)	06/06/14	J		
41. MFS Int'l New Discovery	A	Dividend	J	T	Buy (add'l)	02/28/14	J		
42.					Buy (add'l)	11/07/14	J		
43. Matthews Pacific Tiger Fund	A	Dividend	J	T	Buy (add'l)	02/28/14	J		
44. Meridian Growth Fund Inc.		None			Sold (part)	01/06/14	J		
45.					Sold	11/07/14	J		
46. Southernsun Small Cap Intl	A	Dividend	J	T	Buy (add'l)	02/28/14	J		
47. Oakmark International	A	Dividend	J	T	Buy (add'l)	02/28/14	J		
48. PIMCO All Asset	B	Dividend	K	T	Buy (add'l)	03/17/14	J		
49.					Buy (add'l)	09/03/14	J		
50. PIMCO Low Duration	A	Dividend	K	T	Buy (add'l)	10/06/14	J		
51. PIMCO Real Return	A	Dividend	J	T	Sold (part)	01/27/14	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 \$5,000,000	M = \$100,001 - \$250,000 P2 = \$5,000,001 - \$25,000,000	
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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. PIMCO Total Return	A	Dividend	J	T	Buy (add'l)	06/06/14	J		
53.					Sold (part)	11/07/14	K		
54. Robeco Boston Partners	A	Dividend	K	T	Buy (add'l)	09/03/14	J		
55. Tortoise Energy Infrastructure	B	Dividend	K	T	Buy (add'l)	09/05/14	J		
56. Vanguard Equity Income	B	Dividend	K	T					
57. Vanguard Total Stock	A	Dividend	L	T	Buy (add'l)	02/28/14	J		
58.					Buy (add'l)	10/06/14	J		
59. Virtus Emerging Mkts	A	Dividend	J	T	Buy (add'l)	09/03/14	J		
60. Wasatch Small Cap Growth Fund	A	Dividend	J	T	Buy (add'l)	09/03/14	J		
61. AQR Managed Futures Strategy Alternative FD CL I	B	Dividend	K	T	Buy (add'l)	03/17/14	J		
62.					Sold (part)	11/07/14	J		
63. AQR Multi Strategy Alternative FD I	B	Dividend	J	T	Buy (add'l)	03/17/14	J		
64. Aston Fairpointe Midcap FD CL I	C	Dividend	K	T	Buy (add'l)	02/28/14	J		
65.					Buy (add'l)	11/07/14	K		
66. Driehaus Select Credit FD	B	Dividend	K	T	Buy (add'l)	03/17/14	J		
67.					Sold (part)	12/24/14	K		
68. Eaton Vance Parametric Commodity		None	J	T	Sold (part)	02/28/14	J		

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69. Goldman Sachs Mid Cap Value FD	A	Dividend	J	T					
70. Goldman Sachs Strategic Income FD CL I	B	Dividend	K	T	Buy (add'l)	06/06/14	J		
71.					Sold (part)	11/07/14	K		
72.					Buy (add'l)	12/29/14	J		
73. MFS Emerging Markets Debt CL I	A	Dividend	J	T	Buy (add'l)	12/29/14	J		
74. Templeton Global Bond Fund	C	Dividend	K	T	Buy (add'l)	06/06/14	J		
75.					Buy (add'l)	12/29/14	J		
76. Tortoise/Nuance MLP & Pipeline	B	Dividend	L	T	Buy (add'l)	12/29/14	K		
77. Whitebox Tactical Opportunities FD	A	Dividend	K	T	Buy (add'l)	03/17/14	J		
78.					Sold (part)	11/07/14	J		
79. AllianceBernstein Select US Long Short Port Adv CL	A	Dividend	J	T	Buy	09/03/14	J		
80.					Buy (add'l)	10/21/14	J		
81.					Buy (add'l)	11/07/14	J		
82. AMG Southern Small Cap FD CL I	A	Dividend	J	T	Buy	09/03/14	J		
83.					Buy (add'l)	10/21/14	J		
84. Dodge & Cox Intl Stock FD	A	Dividend	J	T	Buy	11/21/14	J		
85. Fidelity Adv New Insights FD INST CL	A	Dividend	J	T	Buy	02/04/14	J		

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86. Fidelity Blue Chip Growth Fund		None	J	T	Buy	12/29/14	J		
87. iShares Russell Mid-Cap Growth ETF	A	Dividend	J	T	Buy	11/12/14	J		
88. Vanguard Reit Index FD ADM	A	Dividend	J	T	Buy	11/21/14	J		
89. Vanguard Reit Index FD Signal Shrs	A	Dividend	J	T	Buy	09/03/14	J		
90. Bank of Liberty	A	Interest	L	T					
91.									
92.									

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

Number 64 of 2013 Report (which is #39 of 2014 Report) formerly known as ING Global Real Estate is now known as Voya Global Real Estate FD CL I.

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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/ **HAROLD D. WHIPPLE**

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