

UNITED STATES DISTRICT COURT
WESTERN DISTRICT OF MISSOURI
UNITED STATES COURTHOUSE
400 EAST 9TH STREET
KANSAS CITY, MISSOURI 64106

DEAN WHIPPLE
District Judge

(816) 512-5615


May 28, 2008

Committee on Financial Disclosure
Administrative Offices of the United States Courts
Suite 2-301
One Columbus Circle, N.E.
Washington, D.C. 20544

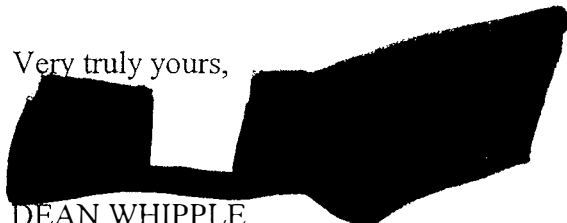
RECEIVED
2008 MAY 30 P 1:34
FINANCIAL
DISCLOSURE OFFICE

Re: 2007 Financial Disclosure Amended Report

Dear Sir or Madam:

Pursuant to your letter of May 22, 2008, enclosed please find an original and three copies of my amended annual financial disclosure report for the calendar year 2007. The amendment is made on page 5, line 29, section D. Please acknowledge receipt of the amended report.

Should you have any questions, please feel free to call me.

Very truly yours,


DEAN WHIPPLE
U. S. DISTRICT JUDGE

DW:ksw
Enclosures

FINANCIAL DISCLOSURE REPORT FOR CALENDAR YEAR 2007

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 "DEAN" D	2. Court or Organization Western District of Missouri	3. Date of Report 05/28/2008
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 01/01/2007 to 12/31/2007
7. Chambers or Office Address 8462 Chas. Evans Whittaker Crt 400 East 9th Street Kansas City, MO 64106	8. On the basis of the information contained in this Report and any modifications pertaining thereto, it is, in my opinion, in compliance with applicable laws and regulations. Reviewing Officer _____ Date _____	
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. Sign on last page.		

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. _____	_____
2. _____	_____
3. _____	_____
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. _____	_____

FINANCIAL DISCLOSURE REPORT

Page 2 of 7

Name of Person Reporting

WHIPPLE, HAROLD "DEAN" D

Date of Report

05/28/2008

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. 2007	Missouri Judges Retirement System - Pension	\$ 45,158.72
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. 2007	Administrative Office - U.S. Courts - Administrative Assistant
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.				

FINANCIAL DISCLOSURE REPORT

Page 3 of 7

Name of Person Reporting

WHIPPLE, HAROLD "DEAN" D

Date of Report

05/28/2008

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.		

FINANCIAL DISCLOSURE REPORT

Page 4 of 7

Name of Person Reporting

WHIPPLE, HAROLD "DEAN" D

Date of Report

05/28/2008

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 Month - Day	(3) Value Code 2 (J-P)	(4) Gain Code 1 (A-H)	(5) Identity of buyer/seller (if private transaction)
1. U.S. Bank (formerly Merc.Bank) (IRA's) cash equivalent	A	Interest	K	T					
2. Woodlands, Dallas Co., MO		None	L	W					
3. Woodlands, Dallas Co., MO		None	K	W					
4. Office Bldg., Lebanon, MO		None	K	W					
5. 1/2 Owner woodlands, Laclede Co., MO		None	J	W					
6. 1/3 Owner woodlands, Lebanon, MO		None	K	W					
7. GMAC	D	Interest	M	T					
8. Bank of America Accounts	C	Interest	M	T					
9. Hickory Co. MO (Weaubleau) School Dist. R-III Mun. Bonds	A	Interest			Redeem	03/01	K	A	
10. Hickory Co. MO (Skyline) R-1 School Dist. Mun. Bonds	A	Interest			Redeem	03/01	K	A	
11. Corn Prod. Int'l. com. stock	A	Dividend	J	T					
12. Vail Resort, Inc. (common)		None	J	T					
13. Mid-Missouri Bank Account	C	Interest	M	T					
14. Cisco Systems, Inc. (common)		None	J	T					
15. Pepsico, Inc. (common)	B	Dividend	L	T					
16. Fed Nat'l. Mtg. Assn note	A	Interest			Sell	07/25	J	A	
17. Federated Total Return Bond Fund	B	Interest	L	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 \$5,000,000	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	

FINANCIAL DISCLOSURE REPORT

Page 5 of 7

Name of Person Reporting

WHIPPLE, HAROLD "DEAN" D

Date of Report

05/28/2008

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 Month - Day	(3) Value Code 2 (J-P)	(4) Gain Code 1 (A-H)	(5) Identity of buyer/seller (if private transaction)
18. Federated Ultra Short Bond Fund	A	Interest			Sell	06/12	K	A	
19. Pimco Foreign Bond Fund	B	Interest	K	T					
20. Vanguard GNMA Fund	B	Interest	K	T					
21. Vanguard Developed Markets Index	A	Dividend	K	T					
22. Vanguard Institutional Index	B	Dividend	L	T					
23. Goldman Sachs Financial Square Money Market Fund	B	Interest	J	T					
24. Dimensional Fund Advisors Investment Dimensions Group	C	Dividend	N	T					
25. IRA #1	D	Interest	M	T					
26. -- AIM Int'l. Mutual Fund									
27. -- AIM Equity Funds CLA									
28. -- U.S. Treas. Sec. Stripped					Redeem	08/15	M	G	
29. AIM Growth SEP	A	Interest	M	T	Buy	08/15	M		
30. Harley Davidson, Inc.	A	Dividend	J	T					
31. Pim. Comm.	B	Dividend	K	T	Buy	06/07	K		
32. Northern Fund Global	A	Dividend	K	T	Buy	06/07	K		
33. Vanguard TIPS	B	Dividend	K	T	Buy	06/07	K		
34.									

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

FINANCIAL DISCLOSURE REPORT

Page 6 of 7

Name of Person Reporting

WHIPPLE, HAROLD "DEAN" D

Date of Report

05/28/2008

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

FINANCIAL DISCLOSURE REPORT

Page 7 of 7

Name of Person Reporting

WHIPPLE, HAROLD "DEAN" D

Date of Report

05/28/2008

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

A large black rectangular redaction mark covering the signature area.

NOTE: ANY INDIVIDUAL WHO KNOWINGLY AND WILFULLY FALSIFIES OR FAILS TO FILE THIS REPORT MAY BE SUBJECT TO CIVIL AND CRIMINAL SANCTIONS (5 U.S.C. app. § 104)

FILING INSTRUCTIONS

Mail signed original and 3 additional copies to:

Committee on Financial Disclosure
Administrative Office of the United States Courts
Suite 2-301
One Columbus Circle, N.E.
Washington, D.C. 20544

FINANCIAL DISCLOSURE REPORT FOR CALENDAR YEAR 2007

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 "DEAN" D	2. Court or Organization Western District of Missouri	3. Date of Report 04/10/2008
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 01/01/2007 to 12/31/2007
7. Chambers or Office Address 8462 Chas. Evans Whittaker Crt 400 East 9th Street Kansas City, MO 64106	8. On the basis of the information contained in this Report and any modifications pertaining thereto, it is, in my opinion, in compliance with applicable laws and regulations. Reviewing Officer _____ Date _____	
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. Sign on last page.		

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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U.S. DISTRICT COURT
WESTERN DISTRICT OF MISSOURI

FINANCIAL DISCLOSURE REPORT

Page 2 of 7

Name of Person Reporting

WHIPPLE, HAROLD "DEAN" D

Date of Report

04-10-2008

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. 2007	Missouri Judges Retirement System - Pension	\$ 42,158.72
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. 2007	Administrative Office - U.S. Courts - Administrative Assistant
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.				

FINANCIAL DISCLOSURE REPORT

Page 3 of 7

Name of Person Reporting

WHIPPLE, HAROLD "DEAN" D

Date of Report

04/01/2008

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</u>	<u>CODE</u>
1			
2			
3			
4			
5			

--	--

D.
Transactions during reporting period

Identity of
Buyer/seller
(if private
transaction)

1	U.S. Bank (formerly Merc.Bank) (IRA's) cash equivalent	A	Interest	K	T				
2	Woodlands, Dallas Co., MO		None	L	W				
3	Woodlands, Dallas Co., MO		None	K	W				
4	Office Bldg., Lebanon, MO		None	K	W				
5	1/2 Owner woodlands, Laclede Co., MO		None	J	W				
6	1/3 Owner woodlands, Lebanon, MO		None	K	W				
7	GMAC	D	Interest	M	T				
8	Bank of America Accounts	C	Interest	M	T				
9	Hickory Co. MO (Weaubleau) School Dist. R-III Mun. Bonds	A	Interest			Redeem	03/01	K	A
10	Hickory Co. MO (Skyline) R-I School Dist. Mun. Bonds	A	Interest			Redeem	03/01	K	A
11	Corn Prod. Int'l. com. stock	A	Dividend	J	T				
12	Vail Resort, Inc. (common)		None	J	T				
13	Mid-Missouri Bank Account	C	Interest	M	T				
14	Cisco Systems, Inc. (common)		None	J	T				
15	Pepsico, Inc. (common)	B	Dividend	L	T				
16	Fed Nat'l. Mtg. Assn note	A	Interest			Sell	07/25	J	A
17	Federated Total Return Bond Fund	B	Interest	L	T				

1 Income Gain Codes:
(See Columns B1 and D4)

2 Value Codes
(See Columns C1 and D3)

3 Value Method Codes
(See Column C2)

A = \$1,000 or less
F = \$50,001 - \$100,000

J = \$15,000 or less
N = \$250,001 - \$500,000
P3 = \$25,000,001 - \$50,000,000

Q = Appraisal
U = Book Value

B = \$1,001 - \$2,500
G = \$100,001 - \$1,000,000
K = \$15,001 - \$50,000
O = \$500,001 - \$1,000,000

R = Cost (Real Estate Only)
V = Other

C = \$2,501 - \$5,000
H1 = \$1,000,001 - \$5,000,000
L = \$50,001 - \$100,000
P1 = \$1,000,001 - \$5,000,000
P4 = More than \$50,000,000

S = Assessment
W = Estimated

D = \$5,001 - \$15,000
H2 = More than \$5,000,000
M = \$100,001 - \$250,000
P2 = \$5,000,001 - \$25,000,000

T = Cash Market

I = \$15,001 - \$50,000

FINANCIAL DISCLOSURE REPORT

Page 5 of 7

Name of Person Reporting

WHIPPLE, HAROLD "DEAN" D

Date of Report

04/10/2008

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 Month - Day	(3) Value Code 2 (J-P)	(4) Gain Code 1 (A-H)	(5) Identity of buyer/seller (if private, transaction)
18. Federated Ultra Short Bond Fund	A	Interest			Sell	06/12	K	A	
19. Pimco Foreign Bond Fund	B	Interest	K	T					
20. Vanguard GNMA Fund	B	Interest	K	T					
21. Vanguard Developed Markets Index	A	Dividend	K	T					
22. Vanguard Institutional Index	B	Dividend	L	T					
23. Goldman Sachs Financial Square Money Market Fund	B	Interest	J	T					
24. Dimensional Fund Advisors Investment Dimensions Group	C	Dividend	N	T					
25. IRA #1	D	Interest	M	T					
26. -- AIM Int'l. Mutual Fund									
27. -- AIM Equity Funds CLA									
28. -- U.S. Treas. Sec. Stripped					Redeem	08/15	M	G	
29. AIM Growth SEP	A	Interest	M	T					
30. Harley Davidson, Inc.	A	Dividend	J	T					
31. Pim. Comm.	B	Dividend	K	T	Buy	06/07	K		
32. Northern Fund Global	A	Dividend	K	T	Buy	06/07	K		
33. Vanguard TIPS	B	Dividend	K	T	Buy	06/07	K		
34.									

1. Income Gain Codes:

(See Columns B1 and D4)

2. Value Codes

(See Columns C1 and D3)

3. Value Method Codes

(See Column C2)

A = \$1,000 or less

F = \$50,001 - \$100,000

J = \$15,000 or less

N = \$250,001 - \$500,000

P3 = \$250,000.01 - \$500,000.00

Q = Appraisal

U = Book Value

B = \$1,001 - \$2,500

G = \$100,001 - \$1,000,000

K = \$15,001 - \$50,000

O = \$500,001 - \$1,000,000

R = Cost (Real Estate Only)

V = Other

C = \$2,501 - \$5,000

H1 = \$1,000,001 - \$5,000,000

L = \$50,001 - \$100,000

P1 = \$1,000,001 - \$5,000,000

P4 = More than \$50,000,000

S = Assessment

W = Estimated

D = \$5,001 - \$15,000

H2 = More than \$5,000,000

M = \$100,001 - \$250,000

P2 = \$5,000,001 - \$25,000,000

T = Cash Market

E = \$15,001 - \$50,000

FINANCIAL DISCLOSURE REPORT

Page 6 of 7

Name of Person Reporting

WHIPPLE, HAROLD "DEAN" D

Date of Report

04/10/2008

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

FINANCIAL DISCLOSURE REPORT

Page 7 of 7

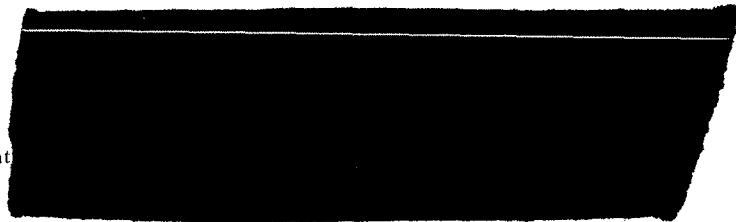
Name of Person Reporting	Date of Report
WHIPPLE, HAROLD "DEAN" D	04/16/2008

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



NOTE: ANY INDIVIDUAL WHO KNOWINGLY AND WILFULLY FALSIFIES OR FAILS TO FILE THIS REPORT MAY BE SUBJECT TO CIVIL AND CRIMINAL SANCTIONS (5 U.S.C. app. § 104)

FILING INSTRUCTIONS

Mail signed original and 3 additional copies to:

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Suite 2-301
One Columbus Circle, N.E.
Washington, D.C. 20544