

FINANCIAL DISCLOSURE REPORT FOR CALENDAR YEAR 2017

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 05/10/2018
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 01/01/2017 to 12/31/2017
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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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. 2017	Missouri Judges Retirement System - Pension	\$44,824.00
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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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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Name of Person Reporting

WHIPPLE, HAROLD D.

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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			Closed	11/01/17	M		
9. Vanguard Developed Markets Index	B	Dividend	K	T					
10. Vanguard Institutional Index	B	Dividend	L	T					
11. Dimensional Fund Advisors Investment Dimensions Group	E	Dividend	N	T	Buy (add'l)	01/10/17	L		
12.					Buy (add'l)	03/08/17	J		
13.					Buy (add'l)	04/21/17	J		
14.					Sold (part)	08/18/17	K		
15.					Sold (part)	10/10/17	J		
16.					Buy (add'l)	10/13/17	K		
17.					Sold (part)	11/16/17	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 H ~\$1,000,001 - \$5,000,000	D ~\$5,001 - \$15,000 I ~\$15,001 - \$50,000	E ~\$15,001 - \$50,000 F ~\$50,001 - \$100,000
2. Value Codes (See Columns C1 and D3)	J ~\$15,000 or less N ~\$250,001 - \$500,000 P ~\$250,001 - \$500,000	K ~\$15,001 - \$50,000 O ~\$500,001 - \$1,000,000	L ~\$50,001 - \$100,000 P ~\$1,000,001 - \$5,000,000 Q ~\$5,000,001 - \$25,000,000	M ~\$100,001 - \$250,000 P ~\$1,000,001 - \$5,000,000 Q ~\$5,000,001 - \$25,000,000	P ~\$1,000,001 - \$5,000,000 Q ~\$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 I (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)	12/22/17	J		
19. IRA #1	D	Dividend	N	T					
20. -- AIM Invesco European Growth Fund CL A	B	Dividend	K	T					
21. -- AIM Invesco American Franchise CL A	C	Dividend	L	T					
22. --AIM Invesco Moderate Allocation CL A	D	Dividend	M	T					
23. Vanguard Index Funds Grw Idx Signal	A	Dividend	L	T					
24. First State Community Bank Accounts (formerly known as Central Bank)	A	Interest	N	T					
25. Academy Bank	A	Interest	M	T					
26. Federated High-Yield Bond	A	Dividend	J	T					
27. Federated Ultra-Short Bond	A	Dividend			Sold	05/03/17	J		
28. Vanguard Short-Term Inv. Grade	B	Dividend	M	T	Sold (part)	03/02/17	K		
29.					Buy (add'l)	03/27/17	J		
30.					Sold (part)	05/03/17	K		
31.					Buy (add'l)	08/18/17	J		
32.					Sold (part)	10/10/17	J		
33.					Buy (add'l)	11/13/17	J		
34. Vanguard Int-Term Inv. Grade	A	Dividend	K	T	Sold (part)	03/01/17	K		

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)
35.					Sold (part)	05/03/17	J		
36. Aberdeen Emerging Mkts	A	Dividend	K	T	Buy (add'l)	02/02/17	J		
37.					Buy (add'l)	04/21/17	J		
38. Cohen & Steers Realty	A	Dividend			Sold	04/02/17	J		
39. Eaton Vance Floating	C	Dividend	M	T	Buy (add'l)	03/02/17	K		
40.					Buy (add'l)	08/18/17	J		
41.					Buy (add'l)	09/26/17	J		
42.					Buy (add'l)	11/13/17	J		
43. Federated Strategic		None			Sold	01/03/17	K		
44. Fidelity Contrafund Inc.	A	Dividend	J	T	Sold (part)	10/10/17	J		
45. MFS Int'l New Discovery	A	Dividend	J	T	Sold (part)	01/11/17	J		
46. Matthews Pacific Tiger Fund	A	Dividend	K	T	Sold (part)	02/03/17	J		
47.					Buy (add'l)	04/21/17	J		
48.					Buy (add'l)	10/10/17	J		
49. Oakmark International	A	Dividend	J	T	Buy (add'l)	10/10/17	J		
50. PIMCO Real Return	A	Dividend	L	T	Buy (add'l)	09/05/17	K		
51. PIMCO Total Return	A	Dividend			Sold	03/02/17	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	
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)
52. Robeco Boston Partners (see Part VIII. for new name)		None	L	T	Sold (part)	04/20/17	K		
53.					Sold (part)	08/17/17	J		
54. Vanguard Equity Income		None			Sold	01/10/17	K		
55. Vanguard Total Stock	B	Dividend	L	T	Buy (add'l)	01/03/17	K		
56.					Sold (part)	09/26/17	K		
57.					Sold (part)	11/13/17	J		
58. Virtus Emerging Mkts		None			Sold	02/02/17	J		
59. AQR Managed Futures Strategy Alternative FD CL I		None			Sold	03/01/17	J		
60. AQR Multi Strategy Alternative FD I	A	Dividend	J	T	Buy (add'l)	03/01/17	J		
61.					Sold (part)	10/13/17	J		
62.					Buy (add'l)	12/22/17	J		
63. Fidelity Blue Chip Growth Fund	B	Dividend	K	T	Buy (add'l)	04/20/17	J		
64.					Sold (part)	09/26/17	J		
65. Vanguard Reit Index FD ADM	A	Dividend			Sold	10/10/17	K		
66.					Sold	10/10/17	J		
67. Bank Liberty (Bank Account)	A	Interest	M	T					
68. Duluth MN Txbl-Arpt Impt-Ser C DTD	B	Interest	K	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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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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69. Eaton Vance Global Macro Absolute Return Advantage FD CL 1 (x)	B	Dividend	K	T	Sold (part)	03/01/17	K		
70.					Buy (add'l)	12/22/17	J		
71. New York State Urban Dev Corp Revenue Txbi-Ser B DTD	B	Interest	L	T					
72. Principal Midcap Fund Instl CL	B	Dividend	J	T	Buy (add'l)	04/21/17	J		
73. Vanguard Mid Cap Index FD Inst	A	Dividend	K	T	Buy (add'l)	04/21/17	J		
74.					Sold (part)	08/18/17	K		
75. Vanguard Small Cap Index FD ADM Shares	A	Dividend	J	T	Sold (part)	11/16/17	J		
76. Central Fund of Canada LTD CL A	A	Dividend	J	T					
77. FDIC Insured Money Market Program	A	Interest	L	T	Buy (add'l)	01/03/17	J		
78.					Sold (part)	03/21/17	M		
79.					Buy (add'l)	04/03/17	J		
80.					Buy (add'l)	09/01/17	K		
81.					Sold (part)	09/01/17	J		
82.					Buy (add'l)	12/01/17	L		
83.					Sold (part)	12/20/17	L		
84. Federated International Strategic Value Dividend Fund		None			Sold	01/03/17	K		
85. IShares Comex Gold Trust		None	J	T	Buy (add'l)	10/16/17	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	
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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86.					Buy (add'l)	11/14/17	J		
87.					Buy (add'l)	12/26/17	J		
88. Las Cruces NM ST Shared Gross Receipts Tax Revenue	A	Interest	K	T					
89. Vanguard Inflation Protected Sec FD ADM Shared	A	Dividend	J	T	Buy (add'l)	03/02/17	K		
90.					Sold (part)	09/05/17	K		
91. WCM Focused Intl Growth FD CL I	A	Dividend	K	T	Buy (add'l)	12/22/17	J		
92. Wisdomtree Midcap Dividend FD	A	Dividend			Sold	09/05/17	J		
93. Wisdomtree Smallcap Dividend Fund	A	Dividend			Sold	09/11/17	J		
94. H Dean Whipple IRA	D	Int./Div.	M	T	Distributed (part)	12/06/17	K		
95. Abbott Labs DTD 11/22/2016 3.4% 11/30/2023-2023 (x)	A	Interest	K	T	Buy	01/06/17	K		
96. Anheuser-Busch Inbev DTD 07/16/2012 2.5% 07/15/2022 (x)	B	Interest	K	T	Buy	01/09/17	K		
97. Chevron Corp DTD 03/03/2015 1.961% 03/03/2020-2020 (x)	A	Interest	K	T	Buy	01/09/17	K		
98. Diamond Hill Small Mid Cap FD CL I (x)		None			Buy	03/08/17	J		
99.					Sold	08/24/17	J		
100. Dodge & Cox Income FD (x)	A	Dividend			Buy	03/27/17	J		
101.					Sold	05/03/17	J		
102. Doubleline Flexible Income FD CL I (x)	A	Dividend	J	T	Buy	08/18/17	J		

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103.					Buy (add'l)	12/22/17	J		
104. Harding Loevner Intl Equity Port Instl Shrs (x)		None			Buy	03/08/17	J		
105.					Sold	10/10/17	J		
106. JPMorgan Hedged Equity FD CL I (x)	A	Dividend	J	T	Buy	04/20/17	K		
107.					Buy (add'l)	08/17/17	J		
108.					Buy (add'l)	12/22/17	J		
109. PIMCO All Asset All Authority Fund Instl Shrs (x)	A	Dividend	J	T	Buy	03/01/17	J		
110.					Buy (add'l)	12/22/17	J		
111. Vanguard Inter Term Tax Exempt FD Adm Shrs (x)	A	Dividend	K	T	Buy	05/03/17	K		
112. Vanguard Limited Term Tax Exempt FD Adm Shrs (x)	A	Dividend			Buy	05/03/17	K		
113.					Sold	12/22/17	K		
114. Vanguard Short Term Inflation Protected Adm (x)	A	Dividend	K	T	Buy	08/18/17	J		
115.					Buy (add'l)	09/05/17	J		
116. X-Trackers Msci Eafe Hedged Equity ETF (x)	A	Dividend	K	T	Buy	01/04/17	K		

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	

FINANCIAL DISCLOSURE REPORT

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Name of Person Reporting

WHIPPLE, HAROLD D.

Date of Report

05/10/2018

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

Voya Global Real Estate FD CL I (#42 of 2016 Report) was referenced Sold (part) on 01/25/16 but should have been referenced Sold. It has been removed from Part VII. Investments and Trusts of the 2017 Report.

Robeco Boston Partners (#50 of 2016 Report) is now Boston Partners Boston Partners Long/Short Research FD CL I.

Goldman Sachs Strategic Income FD CL I (#59 of 2016 Report) was referenced Sold (part) on 01/26/16 but should have been referenced Sold. It has been removed from Part VII. Investments and Trusts of the 2017 Report.

MFS Emerging Markets Debt CL I (#60 of 2016 Report) was referenced Sold (part) on 01/25/16 but should have been referenced Sold. It has been removed from Part VII. Investments and Trusts of the 2017 Report.

Templeton Global Bond Fund (#61 of 2016 Report) was referenced Sold (part) on 1/28/16 but should have been referenced Sold. It has been removed from Part VII. Investments and Trusts of the 2017 Report.

Tortoise/Nuance MLP & Pipeline (#62 of 2016 Report) was referenced Sold (part) on 1/26/16 but should have been referenced Sold. It has been removed from Part VII. Investments and Trusts of the 2017 Report.

IShares Russell Mid Cap Growth ETF (#64 of 2016 Report) was referenced Sold (part) on 5/23/16 but should have been referenced Sold. It has been removed from Part VII. Investments and Trusts of 2017 Report.

FINANCIAL DISCLOSURE REPORT

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Name of Person Reporting

WHIPPLE, HAROLD D.

Date of Report

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