

FINANCIAL DISCLOSURE REPORT FINAL FILING

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 08/24/2019
4. Title (Article III judges indicate active or senior status; magistrate judges indicate full- or part-time) U. S. DISTRICT JUDGE (Inactive Senior Judge Status)	5a. Report Type (check appropriate type) ☐ Nomination ☐ Date ☐ Initial ☐ Annual ☒ Final 5b. ☐ Amended Report	6. Reporting Period 01/01/2018 to 06/18/2019
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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Name of Person Reporting

WHIPPLE, HAROLD D.

Date of Report

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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. 2018	Missouri Judges Retirement System - Pension	\$49,209.00
2. 2019	Missouri Judges Retirement System - Pension	\$24,600.00
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.	
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.				

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Name of Person Reporting
WHIPPLE, HAROLD D.

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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.

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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.									
9. Vanguard Developed Markets Index	B	Dividend	K	T					
10.	A	Dividend			Sold (part)	05/24/19	J		
11. Vanguard Institutional Index	B	Dividend	L	T					
12.	A	Dividend			Sold (part)	05/24/19	J		
13. Dimensional Fund Advisors Investment Dimensions Group	E	Dividend	M	T	Buy (add'l)	02/01/18	K		
14.					Sold (part)	02/12/18	J		
15.					Buy (add'l)	03/27/18	J		
16.					Buy (add'l)	07/24/18	K		
17.					Sold (part)	08/15/18	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.)

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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)
18.					Buy (add'l)	08/15/18	J		
19.					Sold (part)	09/11/18	K		
20.					Buy (add'l)	11/08/18	J		
21.					Sold (part)	12/31/18	L		
22.	A	Dividend	M	T	Sold (part)	02/13/19	J		
23.					Sold (part)	05/24/19	K		
24. IRA #1	D	Dividend	N	T					
25. -- AIM Invesco European Growth Fund CL A	B	Dividend	K	T					
26. -- AIM Invesco American Franchise CL A	C	Dividend	L	T					
27. --AIM Invesco Moderate Allocation CL A	D	Dividend	M	T					
28. Vanguard Index Funds Grw Idx Signal	B	Dividend	L	T					
29.	A	Dividend			Sold (part)	05/24/19	J		
30. First State Community Bank Accounts	A	Interest	M	T					
31. Academy Bank	B	Interest	M	T					
32. Federated High-Yield Bond	A	Dividend	J	T	Buy (add'l)	02/09/18	J		
33.	A	Dividend	J	T					
34. Vanguard Short-Term Inv. Grade	B	Dividend	L	T	Buy (add'l)	02/09/18	J		

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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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35.					Sold (part)	02/26/18	L		
36.					Buy (add'l)	11/08/18	J		
37.					Buy (add'l)	12/12/18	K		
38.	A	Dividend			Buy (add'l)	05/14/19	J		
39.	A	Dividend			Buy (add'l)	01/04/19	K		
40.					Buy (add'l)	03/18/19	K		
41.					Buy (add'l)	05/14/18	J		
42.					Buy (add'l)	06/05/19	J		
43. Vanguard Int-Term Inv. Grade	A	Dividend	K	T	Sold (part)	06/05/18	J		
44. Aberdeen Emerging Mkts		None			Sold (part)	02/01/18	K		
45.					Sold	07/24/18	K		
46. Eaton Vance Floating	D	Dividend	M	T	Buy (add'l)	02/09/18	J		
47.					Buy (add'l)	03/19/18	J		
48.					Buy (add'l)	07/11/18	M		
49.					Sold (part)	07/11/18	M		
50.					Buy (add'l)	09/13/18	K		
51.					Buy (add'l)	11/08/18	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
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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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52.					Sold (part)	07/11/18	M		
53.					Sold (part)	12/19/18	M		
54.	B	Dividend	M	T	Sold (part)	01/04/19	K		
55.					Buy (add'l)	05/14/19	J		
56. Fidelity Contrafund Inc.	A	Dividend	J	T	Sold (part)	02/01/18	J		
57.					Buy (add'l)	11/01/18	J		
58.	A	Distribution			Sold (part)	05/10/19	J		
59. MFS Int'l New Discovery	A	Dividend	J	T	Sold (part)	02/12/18	J		
60.					Sold (part)	08/15/18	J		
61.					Buy (add'l)	11/08/18	J		
62.					Buy (add'l)	02/20/19	J		
63.					Sold (part)	05/10/19	J		
64. Matthews Pacific Tiger Fund	A	Dividend	L	T	Buy (add'l)	02/08/18	K		
65.					Buy (add'l)	03/27/18	J		
66.					Buy (add'l)	11/08/18	J		
67.					Buy (add'l)	12/31/18	J		
68.					Sold (part)	05/10/19	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
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69. Oakmark International	A	Dividend			Buy (add'l)	02/07/18	J		
70.					Buy (add'l)	03/27/18	J		
71.					Buy (add'l)	11/08/18	J		
72.					Sold	12/24/18	J		
73. PIMCO Real Return	A	Dividend			Buy (add'l)	02/09/18	J		
74.					Sold (part)	11/08/18	J		
75.					Sold	12/12/18	K		
76. Boston Partners Boston Partners Long/Short Research FD CL 1		None	L	T	Sold (part)	02/07/18	J		
77. Vanguard Total Stock	B	Dividend	L	T	Buy (add'l)	02/20/18	J		
78.					Buy (add'l)	03/27/18	J		
79.					Buy (add'l)	11/08/18	J		
80.	A	Dividend			Sold (part)	05/10/19	J		
81. AQR Multi Strategy Alternative FD 1	A	Dividend			Buy (add'l)	02/09/18	J		
82.					Sold	03/19/18	J		
83. Fidelity Blue Chip Growth Fund	D	Dividend	K	T	Buy (add'l)	02/02/18	J		
84.					Sold (part)	02/12/18	J		
85.					Buy (add'l)	03/27/18	J		

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				

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86.					Buy (add'l)	11/08/18	J		
87.					Buy (add'l)	12/24/18	J		
88.					Sold (part)	05/10/19	J		
89. Bank Liberty (Bank Account)	A	Interest	M	T					
90. Duluth MN Txbl-Arpt Impt-Ser C DTD	B	Interest	K	T					
91.	A	Interest	K	T					
92. Eaton Vance Global Macro Absolute Return Advantage FD CL 1		None			Buy (add'l)	02/09/18	J		
93.					Sold (part)	07/24/18	K		
94.					Buy (add'l)	07/26/18	J		
95.					Sold (part)	09/13/18	J		
96.					Sold (part)	11/08/18	J		
97.					Sold	12/18/18	J		
98. New York State Urban Dev Corp Revenue Txbl-Ser B DTD	B	Interest	L	T					
99.	A	Interest	L	T					
100. Principal Midcap Fund Instl CL	C	Dividend	J	T	Sold (part)	02/01/18	J		
101.					Buy (add'l)	02/20/18	J		
102.					Buy (add'l)	03/27/18	J		

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103.					Buy (add'l)	08/15/18	J		
104.					Buy (add'l)	11/18/18	J		
105.					Sold (part)	05/10/19	J		
106. Vanguard Mid Cap Index FD Inst	A	Dividend	K	T	Sold (part)	02/01/18	J		
107.					Buy (add'l)	02/20/18	J		
108.					Buy (add'l)	03/27/18	J		
109.					Buy (add'l)	08/15/18	J		
110.					Buy (add'l)	11/18/18	J		
111.					Buy (add'l)	12/24/18	J		
112.	A	Dividend			Sold (part)	05/10/19	J		
113. Vanguard Small Cap Index FD ADM Shares	A	Dividend	J	T	Sold (part)	02/01/18	J		
114.					Sold (part)	02/12/18	J		
115.					Buy (add'l)	02/20/18	J		
116.					Buy (add'l)	03/27/18	J		
117.					Buy (add'l)	08/15/18	J		
118.					Buy (add'l)	11/18/18	J		
119.					Buy (add'l)	12/24/18	J		

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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	
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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)
120.	A	Dividend			Sold (part)	05/10/19	J		
121. Central Fund of Canada LTD CL A (See VIII for exchange info)	A	Dividend			Sold	12/12/18	J		
122. FDIC Insured Money Market Program	A	Interest	L	T	Buy (add'l)	01/02/18	J		
123.					Sold (part)	01/22/18	J		
124.					Buy (add'l)	02/01/18	M		
125.					Sold (part)	02/21/18	M		
126.					Buy (add'l)	03/01/18	J		
127.					Sold (part)	03/19/18	K		
128.					Buy (add'l)	04/03/18	J		
129.					Sold (part)	04/20/18	J		
130.					Buy (add'l)	05/03/18	J		
131.					Sold (part)	05/22/18	J		
132.					Buy (add'l)	06/04/18	J		
133.					Sold (part)	06/20/18	J		
134.					Buy (add'l)	07/05/18	K		
135.					Sold (part)	07/20/18	L		
136.					Buy (add'l)	08/03/18	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	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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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)
137.					Sold (part)	08/21/18	J		
138.					Buy (add'l)	09/05/18	K		
139.					Sold (part)	09/20/18	K		
140.					Buy (add'l)	10/03/18	J		
141.					Sold (part)	10/22/18	J		
142.					Buy (add'l)	11/05/18	J		
143.					Sold (part)	11/20/18	J		
144.					Buy (add'l)	12/03/18	L		
145.					Sold (part)	12/20/18	K		
146.	B	Interest	L	T	Buy (add'l)	01/07/19	J		
147.					Sold (part)	01/23/19	J		
148.					Buy (add'l)	02/01/19	J		
149.					Sold (part)	03/20/19	J		
150.					Buy (add'l)	03/25/19	J		
151.					Buy (add'l)	04/02/19	J		
152.					Sold (part)	04/22/19	J		
153.					Buy (add'l)	05/13/19	M		

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

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)
154.					Sold (part)	05/21/19	K		
155.					Buy (add'l)	06/03/19	J		
156.					Sold (part)	06/03/19	J		
157. iShares Comex Gold Trust		None	J	T	Buy (add'l)	02/12/18	J		
158.					Sold (part)	12/19/18	J		
159. Las Cruces NM ST Shared Gross Receipts Tax Revenue	A	Interest	K	T					
160.	A	Interest	K	T					
161. Vanguard Inflation Protected Sec FD ADM Shared	A	Dividend	J	T	Buy (add'l)	02/09/18	J		
162.					Sold (part)	02/26/18	L		
163.					Buy (add'l)	11/08/18	J		
164.					Buy (add'l)	12/12/18	K		
165. WCM Focused Intl Growth FD CL I	A	Dividend	K	T	Sold (part)	02/12/18	J		
166.					Buy (add'l)	03/27/18	J		
167.					Sold (part)	08/15/18	J		
168.					Buy (add'l)	11/08/18	J		
169.					Sold (part)	05/10/19	J		
170. H Dean Whipple IRA	D	Int./Div.	M	T	Distributed (part)	02/18/18	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	

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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)
171. Abbott Labs DTD 11/22/2016 3.4% 11/30/2023-2023	A	Interest			Redeemed	10/29/18	J		
172. Anheuser-Busch Inbev DTD 07/16/2012 2.5% 07/15/2022	B	Interest	K	T					
173.	A	Interest	K	T					
174. Chevron Corp DTD 03/03/2015 1.961% 03/03/2020-2020	A	Interest			Sold	07/25/18	K		
175. Doubleline Flexible Income FD CL I	A	Dividend			Buy	02/09/18	J		
176.					Buy (add'l)	07/24/18	J		
177.					Sold (part)	09/13/18	J		
178.					Sold (part)	11/08/18	J		
179.					Sold	12/20/18	J		
180. JPMorgan Hedged Equity FD CL I	B	Dividend	J	T	Buy (add'l)	02/07/18	J		
181.					Buy (add'l)	03/27/18	K		
182.					Buy (add'l)	07/24/18	K		
183.					Buy (add'l)	08/15/18	K		
184.					Sold (part)	09/13/18	K		
185.					Sold (part)	11/08/18	K		
186.					Sold (part)	12/24/18	K		
187. JPMorgan Hedged Equity FD CL R6 (f/k/a JPMorgan Hedged Equity FD CL I)	A	Dividend	K	T	Sold (part)	05/10/19	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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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)
188.									
189.									
190. PIMCO All Asset All Authority Fund Instl Shrs	A	Dividend			Buy (add'l)	02/09/18	J		
191.					Buy (add'l)	03/19/18	J		
192.					Sold (part)	07/24/18	J		
193.					Buy (add'l)	07/26/18	J		
194.					Sold (part)	09/13/18	J		
195.					Buy (add'l)	11/08/18	J		
196.					Sold	12/27/18	J		
197. Vanguard Interim Term Tax Exempt FD Adm Shrs	A	Dividend	K	T	Buy (add'l)	02/09/18	K		
198.					Buy (add'l)	07/24/18	J		
199.	A	Dividend							
200. Vanguard Short Term Inflation Protected Adm	A	Dividend	K	T	Buy (add'l)	02/09/18	J		
201.					Buy (add'l)	11/08/18	K		
202.					Buy (add'l)	12/12/18	K		
203. X-Trackers Msci Eafe Hedged Equity ETF	A	Dividend	K	T	Sold (part)	02/01/18	J		
204.					Buy (add'l)	02/12/18	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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Name of Person Reporting

WHIPPLE, HAROLD D.

Date of Report

08/24/2019

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)
205.					Sold (part)	02/21/18	J		
206.					Buy (add'l)	11/09/18	J		
207.					Buy (add'l)	12/26/18	J		
208.					Sold (part)	05/13/19	J		
209. Federated Ultra-Short Bond	A	Dividend	M	T	Buy (add'l)	02/26/18	L		
210.					Buy (add'l)	11/08/18	J		
211.					Buy (add'l)	12/20/18	K		
212.	B	Dividend			Sold (part)	06/05/19	K		
213. Dodge & Cox Income FD	A	Dividend	J	T	Buy	12/07/18	J		
214.					Sold (part)	01/02/19	J		
215. Doubleline Core Fixed Income FD CL 1 (x)	A	Dividend			Buy	06/05/18	J		
216.					Sold	12/12/18	J		
217. JPMorgan Hedged Equity FD CL R6 (x)	A	Dividend	J	T	Buy	11/08/18	J		
218.									
219.									
220. MFS Int'l Growth FD CL R6 (x)		None	K	T	Buy	02/13/19	K		
221.					Sold (part)	05/10/19	J		

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

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Name of Person Reporting

WHIPPLE, HAROLD D.

Date of Report

08/24/2019

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)
222. Royce Intl Premier Fund Instl CL (x)		None	K	T	Buy	12/24/18	K		
223.					Sold (part)	05/10/19	J		
224. Schwab US Dividend Equity ETF (x)	A	Dividend	K	T	Buy	12/26/18	K		
225.	A	Dividend			Buy (add'l)	01/03/19	K		
226.					Sold (part)	05/28/19	J		
227. SPDR Gold Trust (x)		None	J	T	Buy	01/31/18	J		
228.					Buy (add'l)	07/27/18	J		
229.					Sold (part)	12/06/18	J		
230.					Sold (part)	01/03/19	K		
231. T Rowe Price Institutional Floating Rate FD (x)		None	M	T	Buy	12/19/18	M		
232.	B	Dividend			Sold (part)	03/18/19	L		
233. T Rowe Price Small Cap Stock FD CL 1 (x)		None	M	T	Buy	12/24/18	M		
234.					Buy (add'l)	03/04/19	J		
235.					Sold (part)	05/10/19	J		
236. Vanguard Equity Income FD Adm Shrs (x)	A	Dividend	J	T	Buy	09/13/18	K		
237.					Buy (add'l)	11/08/18	J		
238.					Buy (add'l)	12/24/18	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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WHIPPLE, HAROLD D.

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08/24/2019

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)

239.	A	Dividend			Sold (part)	05/10/19	J		
240. Vanguard GNMA FD Adm Shrs (x)		None	K	T	Buy	12/16/18	K		
241.	A	Dividend			Buy (add'l)	01/04/19	J		
242.					Buy (add'l)	03/18/19	K		
243.					Buy (add'l)	05/14/19	J		
244.					Buy (add'l)	06/05/19	K		
245. Vanguard Growth Vipers (x)	A	Dividend	J	T	Buy	11/09/18	J		
246.	A	Dividend			Sold (part)	05/13/19	J		
247. Vanguard Small Cap Growth (x)	A	Dividend	J	T	Buy	07/25/18	J		
248.					Sold (part)	03/05/19	J		
249. Vanguard Ultra Short Term Bond FD Adm (x)	A	Dividend	J	T	Buy	02/13/19	J		
250.					Buy (add'l)	03/18/19	K		
251.					Buy (add'l)	05/14/19	J		
252.					Buy (add'l)	06/03/19	J		
253.									

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

Line 121: Central Fund of Canada LTD CL A on 01/18/18 exchange for Sprott Physical Gold & Silver Trust

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08/24/2019

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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