

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) Tharp, John J.	2. Court or Organization District Court, Northern District of Illinois	3. Date of Report 11/05/2015
4. Title (Article III judges indicate active or senior status; magistrate judges indicate full- or part-time) District Judge (Active)	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 United States District Court Everett McKinley Dirksen United States Courthouse 219 S. Dearborn Street Chicago, IL 60604		
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.)

	<u>POSITION</u>	<u>NAME OF ORGANIZATION/ENTITY</u>
1.	Co-Trustee	Trust #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. 2013	Mayer Brown LLP - Payment of remaining compensation due through June 1, 2012 (last day with firm; final amount payable in 2013)
2.	
3.	

FINANCIAL DISCLOSURE REPORT

Page 2 of 32

Name of Person Reporting

Tharp, John J.

Date of Report

11/05/2015

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.		
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. 2014	Janus & Associates, salary
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. Federal Judicial Center	02/03/2013 - 02/08/2013	Washington D.C.	Judicial Training	Airfare, per diem,
2. Administrative Office of the United States Courts	05/05/2013 - 05/07/2013	Indianapolis, IN	7th Circuit Judicial Conference	Mileage, Parking, Hotel, Meals
3. Federal Judicial Center	05/20/2013 - 05/24/2013	Berkeley, CA	Intellectual Property Seminar	Airfare, per diem, baggage fee, cab
4.				
5.				

FINANCIAL DISCLOSURE REPORT

Page 3 of 32

Name of Person Reporting

Tharp, John J.

Date of Report

11/05/2015

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.	United Pacific Life	Loan #1	K
2.	United Pacific Life	Loan #2	K
3.	JP Morgan Chase	Credit Card	K
4.			
5.			

FINANCIAL DISCLOSURE REPORT

Page 4 of 32

Name of Person Reporting

Tharp, John J.

Date of Report

11/05/2015

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. AT&T (common stock)	D	Dividend	M	T					
2. Bright Start 529 Plan Blended Age Based 18 Years (Y)		None	K	T					
3. CenterPoint Energy (common stock)	B	Dividend	K	T					
4. Coca-Cola (common stock) (Y)	A	Dividend	J	T					
5. Columbia Strategic Investor Fund-Z		None			Sold	02/11/14	J	A	
6. DuPont (common stock)	C	Dividend	M	T					
7. General Electric (common stock)	A	Dividend	K	T					
8. Harley-Davidson (common stock) (Y)	A	Dividend	J	T					
9. Hershey Foods (common stock) (Y)	B	Dividend	L	T					
10. Home Depot (common stock) (Y)	A	Dividend	J	T					
11. IBM (common stock)	D	Dividend	M	T					
12. JP Morgan Chase Bank Accounts	A	Interest	M	T					
13. Merrill Lynch Bank Deposit Program	A	Interest	J	T					
14. Northwestern Mutual Insurance Policies (Whole Life)	D	Dividend	M	T					
15. NRG Energy (common stock)	A	Dividend	J	T					
16. Pfizer (common stock)	C	Dividend	M	T					
17. United Pacific Life Ins. (Universal Life; no control) (nka Genworth)	D	Dividend	M	T					

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	
3. Value Method Codes	P3 = \$25,000,001 - \$50,000,000		P4 = More than \$50,000,000		
(See Column C2)	Q = Appraisal	R = Cost (Real Estate Only)	S = Assessment	T = Cash Market	
	U = Book Value	V = Other	W = Estimated		

FINANCIAL DISCLOSURE REPORT

Page 5 of 32

Name of Person Reporting

Tharp, John J.

Date of Report

11/05/2015

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 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. U.S. Savings Bonds		None	K	T					
19. Vanguard Dividend Growth Fund	B	Dividend	L	T					
20. Vanguard Energy Fund	B	Dividend	K	T					
21. Vanguard Information Tech ETF	A	Dividend	L	T					
22. Vanguard International Value Fund	A	Int./Div.	K	T					
23. Vanguard Long-Term Tax Exempt Bond Fund	B	Dividend	K	T					
24. Vanguard S&P 500 Index Fund	B	Dividend	M	T	Buy (add'l)	11/12/14	J		
25. Walgreen's Boots Alliance Inc. (common stock) (Y)	A	Dividend	K	T					
26. Wal-Mart (common stock) (Y)	A	Dividend	K	T					
27. Walt Disney (common stock) (Y)	A	Dividend	K	T					
28. IRA #1	D	Int./Div.	M	T					
29. --Vanguard Total International Stock Index Fund									
30. --Vanguard Total Stock Market Index Fund									
31. --Vanguard Total Bond Market Index Fund									
32. IRA #2	B	Int./Div.	K	T					
33. --Vanguard Total International Stock Index Fund									
34. --Vanguard Total Stock Market Index Fund									

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

Page 6 of 32

Name of Person Reporting

Tharp, John J.

Date of Report

11/05/2015

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)

35. --Vanguard Total Bond Market Index Fund									
36. IRA #3	E	Dividend	M	T					
37. --Fidelity Magellan Fund									
38. IRA #4	A	Int./Div.	K	T					
39. --Vanguard 500 Index Fund									
40. IRA #5	F	Int./Div.	P1	T					
41. --CIVIX - MFO Causeway Cap Mgmt Tr Intl Value FD Instl Cl					Buy (add'l)	10/08/14	J		
42. --DFCEX - MFO DFA Invt. Dimensions Group Inc Emerging Mkts									
43. --DFEVX - MFO DFA Emerging Markets Value									
44. --DFITX - MFO DFA Invt Dimensions Group Inc Intl Real Estate									
45. --DFREX - MFO DFA Invt Dimensions Group Inc. Real Estate									
46. --DVY - MFC IShares TR Dow Jones Select Divid Index Fund									
47. --GUNR - MFC Flexshares TR Morningstar Global Upstream NRIF									
48. --HLMIX - MFO Harding Loevner FDS Inc. Intl Equity Portfolio					Buy (add'l)	10/08/14	J		
49. --NMFIX MFB Northern Multimanager					Buy	10/06/14	K		
50. --NOMIX - MFB Northern Mid Cap Index Fund									
51. --NORXX - MFB Northern Funds Money Market Fund									

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		

FINANCIAL DISCLOSURE REPORT

Page 7 of 32

Name of Person Reporting

Tharp, John J.

Date of Report

11/05/2015

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)
52. --NOSIX - MFB Northern Funds Stock Index Fund									
53. --NSICX - MFB Northern Funds Small Cap Index Fund									
54. --PHIYX - MFO Pimco Funds Pac Invt Mgmt Ser HY Instl CL									
55. --PTTRX - MFO Pimco Funds Pac Invt Mgmt Ser Total Return FD					Sold	10/07/14	J	A	
56. --TDTF - MFC Flexshares Tr IBOXX 5 Yr Tgt Duration TIPS Indx									
57. IRA #6	E	Dividend	N	T					
58. --Fidelity Blue Chip Growth									
59. --Fidelity Independence									
60. IRA #7	B	Dividend	K	T					
61. --Fidelity Independence									
62. IRA #8	A	Dividend	K	T					
63. --Vanguard Total Stock Mkt Index Fund					Buy	03/10/14	J		
64. Trust #1	A	Dividend	K	T					
65. --The Dreyfus Fund					Sold (part)	01/02/14	J	A	
66.					Sold (part)	04/29/14	J	A	
67.					Sold (part)	08/28/14	J	A	
68.					Sold (part)	12/09/14	J	A	

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 8 of 32

Name of Person Reporting

Tharp, John J.

Date of Report

11/05/2015

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)
69. Trust #2	E	Dividend	O	T					
70. --Allstate (common)									
71. --American Electric Power (common)									
72. --Anadarko Petroleum (common)									
73. --AT&T (common)									
74. --Bank of America (common)					Sold	11/24/14	J	A	
75. --Beam, Inc.(common)					Sold	05/01/14	K	E	
76. --Blackrock Global Allocation C									
77. --BP Amoco (ADR)									
78. --Conoco Phillips (common)									
79. --Dow Chemical (common)									
80. --Duke Energy (common)									
81. --DuPont (common)									
82. --Exelon (common)					Sold (part)	12/29/14	J	A	
83. --Exxon (common)									
84. --Fortune Brands Home & Security (common)									
85. --Hershey (common)									

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

Page 9 of 32

Name of Person Reporting

Tharp, John J.

Date of Report

11/05/2015

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)
86. --ISHARES S&P Growth ETF (IVW)					Buy	11/26/14	J		
87. --Ivy Asset Strategy					Buy (add'l)	05/16/14	K		
88. --JP Morgan Chase Cash Accounts									
89. --JP Morgan Tr I US Small Co. Cl C					Buy	11/26/14	J		
90. --JP Morgan Tr I Dynamic Growth					Buy	08/11/14	K		
91. --Lincoln National Group (common)									
92. --Merck (common)									
93. --Monsanto (common)									
94. --Pfizer (common)									
95. --Phillips 66 (common)									
96. --Spectra Energy (common)									
97. --Sterling Cap FDS Mid Value FD (OVECX)									
98. --Walgreen's Boots Alliance (common)									
99. Trust #3	D	Dividend	N	T					
100. --3-M (common)									
101. --Allstate (common)									
102. --Bank of America (common)									

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

Page 10 of 32

Name of Person Reporting

Tharp, John J.

Date of Report

11/05/2015

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)

103. --Dow Chemical (common)									
104. --Exelon (common)									
105. --Exxon (common)									
106. --IBM (common)									
107. --JP Morgan Chase (common)									
108. --JP Morgan Chase Cash Account									
109. --Lincoln National Corp. (common)									
110. --Pfizer (common)									
111. --Sherwin Williams (common)									
112. Trust #4	E	Dividend	O	T					
113. --3-M (common)									
114. --Exxon Mobil (common)									
115. --McDonald's (common)									
116. --JP Morgan Chase Cash Account									
117. Trust #5	C	Int./Div.	M	T					
118. --JP Morgan Chase Cash Account									
119. --25% of Moles Family Partnership									

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

Page 11 of 32

Name of Person Reporting

Tharp, John J.

Date of Report

11/05/2015

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)
120. ---NOTEX-Northern Funds Tax Exempt Fund									
121. ---NSIDX-Northern Funds Small Cap Index Fund									
122. ---NOSIX-Northern Funds Stock Index Fund									
123. ---NOMIX-Northern Mid Cap Index Fund									
124. ---TDTF-Flexshares TR IBOXX 5 yr Tgt TIPS Index Fd									
125. ---DVY-IShares Tr Dow Jones Select Divid Index Fd									
126. ---GLD-Spdr Gold Tr Gold Shares (Y)									
127. ---GUR-Flexshares TR Morningstar Global Upstream Nat ResIdx									
128. ---DFCEX-Invt Dimensions Group Emerging Mkts Core Eq Ptf									
129. ---DFITX-Invt Dimensions Group Int'l Real Estate Secs Ptf					Sold (part)	04/22/14	J	A	
130. ---PHYIX-Pimco Funds Pac Invt Mgmt Ser HY Fund									
131. ---HLMIX-Harding Loevner Funds Inc Int'l Equity Ptf									
132. ---CIVIX-Causeway Cap Mgmt Tr Int'l Value Fd									
133. ---DFREX-Invt Dimensions Group Real Estate Secs Ptf					Sold (part)	04/22/14	J	A	
134. ---PCRIX-Pimco Pac Invt Mgmt Ser Commodity Real Trn Stgy Fd (Y)									
135. ---DFEVX-Emerging Markets Value Fd									
136. ---NMFIX MFB Northern Multi-Manager					Buy	04/22/14	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	

FINANCIAL DISCLOSURE REPORT

Page 12 of 32

Name of Person Reporting

Tharp, John J.

Date of Report

11/05/2015

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. ---MFB Northern Fds Cash Accounts									
138. Trust #6	F	Distribution	O	W					
139. --Farm land, Christian County, Illinois									
140. --JP Morgan Chase Cash Account									
141. Trust #7	E	Dividend	O	T					
142. --Aston Optimum Mid Cap Fund 1 (ABMIX)					Sold (part)	02/04/14	J	A	
143.					Sold (part)	05/28/14	J	B	
144. --Delaware Emerging Markets Fund (DEMI)					Sold	02/04/14	J	A	
145. --iShares Russell MidCap Index Fund (IWR)									
146. --iShares MSCI EAFE Index Fund (EFA)					Sold	12/15/14	J	A	
147. --JP Morgan Inter. Tax Free Bond Fund - Sel (Fund 1374)									
148. --JP Morgan Market Expansion Index Fund (PGMIX)									
149. --JPMorgan Str Opp Fund (JSOSX)					Sold	10/08/14	K	A	
150. --T Rowe Price New Asia Fund (PRASX)					Buy (add'l)	10/08/14	J		
151. --Condominium Unit (real estate), Sarasota County, Florida									
152. --Dreyfus Laurel Emg Mkt Debt Fd					Sold	01/24/14	J	A	
153. --Eaton Vance Floating Rate Advantage I (EIFAX)					Sold	06/09/14	J	A	

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

Page 13 of 32

Name of Person Reporting

Tharp, John J.

Date of Report

11/05/2015

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. --Pimco Commodity Plus Strategy Fd (PCLPX)					Sold (part)	01/24/14	J	A	
155.					Sold (part)	05/28/14	J	A	
156.					Sold	11/07/14	J	A	
157. --Hartford Capital Appreciation Fd (ITHIX)									
158. --JPMorgan Large Cap Growth Fd-Select (SEEGX)					Sold	05/28/14	K	D	
159. --JPMorgan Large Cap Core Plus Fd-Select (JLPSX)									
160. --Neuberger Berman Multi Cap Opportunities Fd (NMULX)									
161. --Primecap Odyssey Stock Fd (POSKX)					Sold	03/06/14	J	B	
162. --Spdr S&P 500 ETF Trust (SPY)					Buy (add'l)	06/02/14	K		
163.					Buy (add'l)	10/15/14	J		
164. --JPMorgan Intl Value Fd-Select (JNUSX)									
165. --MFS Intl Value Fd-I (MINIX)									
166. --Vanguard MSCI Europe ETF (VGG)					Sold	10/09/14	J	A	
167. --iShares MSCI All Country Asia Ex Jpn (AAXJ)					Sold (part)	03/06/14	J	A	
168. --Capital Private Client SVCS Cap Non-US Equities (CNUSX)					Buy (add'l)	01/27/14	J		
169. --Gateway Fund (GTEYX)					Buy (add'l)	01/08/14	J		
170. --Goldman Sachs TR Strg Income Inst (GSZIX)					Buy (add'l)	01/08/14	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	

FINANCIAL DISCLOSURE REPORT

Page 14 of 32

Name of Person Reporting

Tharp, John J.

Date of Report

11/05/2015

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. --JP Morgan China Region Fund-Select Fund 3810 (JCHSX)									
172. --JP Morgan Global Res Enh Index Fund - Select Fund (JEITX)					Buy (add'l)	02/04/14	J		
173.					Buy (add'l)	12/15/14	K		
174. --JP Morgan Intrepid Euro Fund - Instl (JFEIX)					Sold	10/08/14	J	A	
175. --JP Morgan Tax Free Instl Sweep Fund (#840)									
176. --Metropolitan West Funds Total Return CL I (MWTIX)									
177. --Oakmark Intl Fund-I (OAKIX)					Sold	12/15/14	K	A	
178. --Equinox Funds Trust Strategy I (EBSIX)					Sold	02/24/14	K	A	
179. ---Dodge & Cox Intl Stock Fund (DODFX)					Buy	12/22/14	K		
180. ---Brown Adv Japan Alpha (BAFJX)					Buy	03/07/14	J		
181. ---Gotham Absolute Return (GARIX)					Buy	01/08/14	J		
182. ---Inv Balanced-Risk Alloc (ARBYX)					Buy	02/24/14	K		
183. ---DB Market Plus WTI 7/21/15					Buy	05/29/14	J		
184.					Buy (add'l)	09/26/14	J		
185.					Sold (part)	12/08/14	J	A	
186. ---JP Morgan Daily Return Note					Buy	05/02/14	J		
187.					Buy (add'l)	07/11/14	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 -\$250,001 - \$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 15 of 32

Name of Person Reporting

Tharp, John J.

Date of Report

11/05/2015

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.					Sold (part)	11/21/14	J	A	
189.					Buy (add'l)	11/21/14	J		
190. Trust #8	E	Dividend	O	T					
191. --Allstate (common)									
192. --American Electric Power (common)									
193. --Anadarko Petroleum (common)									
194. --AT&T (common)									
195. --Bank of America (common)					Sold	11/24/14	J	A	
196. --Beam, Inc. (common)					Sold	05/01/14	K	E	
197. --Blackrock Global Allocation C									
198. --BP Amoco (ADR)									
199. --Conoco Phillips (common)									
200. --Dow Chemical (common)									
201. --Duke Energy (common)									
202. --DuPont (common)									
203. --Exelon (common)					Sold (part)	12/29/14	J	A	
204. --Exxon (common)									

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		

FINANCIAL DISCLOSURE REPORT

Page 16 of 32

Name of Person Reporting

Tharp, John J.

Date of Report

11/05/2015

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. --Fortune Brands Home & Security (common)									
206. --Hershey (common)									
207. --ISHARES S&P 500 Growth ETF (IVW)					Buy	11/26/14	J		
208. --Ivy Asset Strategy					Buy (add'l)	05/16/14	K		
209. --JP Morgan Tr I US Small Co. Cl C					Buy	11/26/14	J		
210. --JP Morgan Tr I Dynamic Growth					Buy	08/11/14	K		
211. --JP Morgan Chase Cash Accounts									
212. --Lincoln National Group (common)									
213. --Merck (common)									
214. --Monsanto (common)									
215. --Pfizer (common)									
216. --Phillips 66 (common)									
217. --Spectra Energy (common)									
218. --Sterling Cap FDS Mid Value FD (OVECX)									
219. --Walgreen's Boot's Alliance (common)									
220. Trust #9	D	Dividend	N	T					
221. --3-M (common)									

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 17 of 32

Name of Person Reporting

Tharp, John J.

Date of Report

11/05/2015

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. --Allstate (common)									
223. --Bank of America (common)									
224. --Dow Chemical (common)									
225. --Exelon (common)									
226. --Exxon (common)									
227. --IBM (common)									
228. --JP Morgan Chase (common)									
229. --JP Morgan Chase Cash Account									
230. --Lincoln National Corp. (common)									
231. --Pfizer (common)									
232. --Sherwin Williams (common)									
233. Trust #10	E	Dividend	O	T					
234. --3-M (common)									
235. --Exxon Mobil (common)									
236. --McDonald's (common)									
237. --JP Morgan Chase Cash Account									
238. Trust #11	C	Int./Div.	M	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 18 of 32

Name of Person Reporting

Tharp, John J.

Date of Report

11/05/2015

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. --JP Morgan Chase Cash Account									
240. --25% of Moles Family Partnership									
241. ---NOTEX-Northern Funds Tax Exempt Fund									
242. ---NSIDX-Northern Funds Sall Cap Index Fund									
243. ---NOSIX-Northern Funds Stock Index Fund									
244. ---NOMIX-Northern Mid Cap Index Fund									
245. ---TDTF-Flexshares TR IBOXX 5 yr Tgt TIPS Index Fd									
246. ---DVY-iShares Tr Dow Jones Select Divid Index Fd									
247. ---GLD-Spdr Gold Tr Gold Shares (Y)									
248. ---GUNR-Flexshares TR Morningstar Global Upstream Nat ResIdx									
249. ---DFCEX-Invt Dimensions Group Emerging Mkts Core Eq Prt									
250. ---DFITX-Invt Dimensions Group Int'l Real Estate Secs Ptf					Sold (part)	04/22/14	J	A	
251. ---PHYIX-Pimco Funds Pac Invt Mgmt Ser HY Fund									
252. ---HLMIX-Harding Loevner Funds Inc Int'l Equity Prt									
253. ---CIVIX-Causeway Cap Mgmt Tr Int'l Value Fd									
254. ---DFREX-Invt Dimensions Group Real Estate Secs Prt					Sold (part)	04/22/14	J	A	
255. ---PCRIX-Pimco Pac Invt Mgmt Ser Commodity Real Trn Stgy Fd (Y)									

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

Page 19 of 32

Name of Person Reporting

Tharp, John J.

Date of Report

11/05/2015

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)

256. ---DFEVX-Emerging Markets Value Fd									
257. ---NMFIX MFB Northern Multi-Manager					Buy	04/22/14	J		
258. ---MFB Northern Fds Cash Accounts									
259. Trust #12	D	Dividend	N	T					
260. --DuPont (common)									
261. --General Electric (common)									
262. --IBM (common)									
263. --Pfizer (common)									
264. Trust #13	E	Dividend	O	T					
265. --Allstate (common)									
266. --American Electric Power (common)									
267. --Anadarko Petroleum (common)									
268. --AT&T (common)									
269. --Blackrock Global Allocation C									
270. --BP Amoco (ADR)									
271. --Conoco Phillips (common)									
272. --Dow Chemical (common)									

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

Page 20 of 32

Name of Person Reporting

Tharp, John J.

Date of Report

11/05/2015

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)

273. --Duke Energy (common)									
274. --DuPont (common)									
275. --Exelon (common)					Sold (part)	12/29/14	J	A	
276. --Exxon (common)									
277. --Fortune Brands Home & Security (common)									
278. --Hershey (common)									
279. --ISHARES S&P 500 Growth ETF (IVW)					Buy	11/26/14	J		
280. --Ivy Asset Strategy					Buy (add'l)	05/16/14	K		
281. --JP Morgan Tr I US Small Co. Cl C					Buy	11/26/14	J		
282. --JP Morgan Tr I Dynamic Growth					Buy	08/11/14	K		
283. --JP Morgan Chase Cash Accounts									
284. --Lincoln National Group (common)									
285. --Merck (common)									
286. --Monsanto (common)									
287. --Phillips 66 (common)									
288. --Pfizer (common)									
289. --Spectra Energy (common)									

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

Page 21 of 32

Name of Person Reporting

Tharp, John J.

Date of Report

11/05/2015

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)
290. --Sterling Cap FDS Mid value FD (OVECX)									
291. Trust #14	D	Dividend	N	T					
292. --3-M (common)									
293. --Allstate (common)									
294. --Bank of America (common)									
295. --Dow Chemical (common)									
296. --Exelon (common)									
297. --Exxon (common)									
298. --IBM (common)									
299. --JP Morgan Chase (common)									
300. --JP Morgan Chase Cash Account									
301. --Lincoln National Corp. (common)									
302. --Pfizer (common)									
303. --Sherwin Williams (common)									
304. Trust #15	E	Dividend	O	T					
305. --3-M (common)									
306. --Exxon Mobil (common)									

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 22 of 32

Name of Person Reporting

Tharp, John J.

Date of Report

11/05/2015

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)

307. --McDonald's (common)									
308. --JP Morgan Chase Cash Account									
309. Trust #16	C	Int./Div.	M	T					
310. --JP Morgan Chase Cash Account									
311. --25% of Moles Family Partnership									
312. ---NOTEX-Northern Funds Tax Exempt Fund									
313. ---NSIDX-Northern Funds Sall Cap Index Fund									
314. ---NOSIX-Northern Funds Stock Index Fund									
315. ---NOMIX-Northern Mid Cap Index Fund									
316. ---TDTF-Flexshares TR IBOXX 5 yr Tgt TIPS Index Fd									
317. ---DVY-ISHares Tr Dow Jones Select Divid Index Fd									
318. ---GLD-Spdr Gold Tr Gold Shares (Y)									
319. ---GUNR-Flexshares TR Morningstar Global Upstream Nat ResIdx									
320. ---DFCEX-Invt Dimensions Group Emerging Mkts Core Eq Ptf									
321. ---DFITX-Invt Dimensions Group Int'l Real Estate Secs Ptf					Sold (part)	04/22/14	J	A	
322. ---PHYIX-Pimco Funds Pac Invt Mgmt Ser HY Fund									
323. ---HLMIX-Harding Loevner Funds Inc Int'l Equity Ptf									

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

Page 23 of 32

Name of Person Reporting

Tharp, John J.

Date of Report

11/05/2015

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)

324. ---CIVIX-Causeway Cap Mgmt Tr Int'l Value Fd									
325. ---DFREX-Invt Dimensions Group Real Estate Secs Prt					Sold (part)	04/22/14	J	A	
326. ---PCRIX-Pimco Pac Invt Mgmt Ser Commodity Real Trn Stgy Fd (Y)									
327. ---DFEVX-Emerging Markets Value Fd									
328. ---NMFIX MFB Northern Multi-Manager					Buy	04/22/14	J		
329. ---MFB Northern Fds Cash Accounts									
330. Trust #17	E	Dividend	O	T					
331. --Allstate (common)									
332. --American Electric Power (common)									
333. --Anadarko Petroleum (common)									
334. --AT&T (common)									
335. --Bank of America (common)					Sold	11/24/14	J	A	
336. --Beam, Inc.					Sold	05/01/14	K	E	
337. --Blackrock Global Allocation C									
338. --BP Amoco (ADR)									
339. --Conoco Phillips (common)									
340. --Dow Chemical (common)									

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 24 of 32

Name of Person Reporting

Tharp, John J.

Date of Report

11/05/2015

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)

341. --Duke Energy (common)									
342. --DuPont (common)									
343. --Exelon (common)					Sold (part)	12/29/14	J	A	
344. --Exxon (common)									
345. --Fortune Brands Home & Security (common)									
346. --Hershey (common)									
347. --ISHARES S&P 500 Growth ETF (IVW)					Buy	11/26/14	J		
348. --Ivy Asset Strategy					Buy (add'l)	05/16/14	K		
349. --JP Morgan Tr I US Small Co. Cl C					Buy	11/26/14	J		
350. --JP Morgan Tr I Dynamic Growth					Buy	08/11/14	K		
351. --JP Morgan Chase Cash Accounts									
352. --Lincoln National Group (common)									
353. --Merck (common)									
354. --Monsanto (common)									
355. --Phillips 66 (common)									
356. --Pfizer (common)									
357. --Spectra Energy (common)									

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

Page 25 of 32

Name of Person Reporting

Tharp, John J.

Date of Report

11/05/2015

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)

358. --Sterling Cap FDS Mid Value FD (OVECX)									
359. --Walgreen's Boot's Alliance (common)									
360. Trust #18	D	Dividend	N	T					
361. --3-M (common)									
362. --Allstate (common)									
363. --Bank of America (common)									
364. --Dow Chemical (common)									
365. --Exelon (common)									
366. --Exxon (common)									
367. --IBM (common)									
368. --JP Morgan Chase (common)									
369. --JP Morgan Chase Cash Account									
370. --Lincoln National Corp. (common)									
371. --Pfizer (common)									
372. --Sherwin Williams (common)									
373. Trust #19	E	Dividend	O	T					
374. --3-M (common)									

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

Page 26 of 32

Name of Person Reporting

Tharp, John J.

Date of Report

11/05/2015

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)
375. --Exxon Mobil (common)									
376. --McDonald's (common)									
377. --JP Morgan Chase Cash Account									
378. Trust #20	C	Int./Div.	M	T					
379. --JP Morgan Chase Cash Account									
380. --25% of Moles Family Partnership									
381. ---NOTEX-Northern Funds Tax Exempt Fund									
382. ---NSIDX-Northern Funds Sall Cap Index Fund									
383. ---NOSIX-Northern Funds Stock Index Fund									
384. ---NOMIX-Northern Mid Cap Index Fund									
385. ---TDTF-Flexshares TR IBOX 5 yr Tgt TIPS Index Fd									
386. ---DVY-IShares Tr Dow Jones Select Divid Index Fd									
387. ---GLD-Spdr Gold Tr Gold Shares (Y)									
388. ---GUNR-Flexshares TR Morningstar Global Upstream Nat ResIdx									
389. ---DFCEX-Invt Dimensions Group Emerging Mkts Core Eq Ptf									
390. ---DFITX-Invt Dimensions Group Int'l Real Estate Secs Ptf					Sold (part)	04/22/14	J	A	
391. ---PHYIX-Pimco Funds Pac Invt Mgmt Ser HY Fund									

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 27 of 32

Name of Person Reporting

Tharp, John J.

Date of Report

11/05/2015

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)
392. ---HLMIX-Harding Loevner Funds Inc Int'l Equity Prt									
393. ---CIVIX-Causeway Cap Mgmt Tr Int'l Value Fd									
394. ---DFREX-Invt Dimensions Group Real Estate Secs Prt					Sold (part)	04/22/14	J	A	
395. ---PCRIX-Pimco Pac Invt Mgmt Ser Commodity Real Trn Stgy Fd (Y)									
396. ---DFEVX-Emerging Markets Value Fd									
397. ---NMFIX MFB Northern Multi-Manager					Buy	04/22/14	J		
398. ---MFB Northern Fds Cash Accounts									
399. Trust #21	G	Int./Div.	P1	T					
400. --JPMORGAN CASH ACCOUNT									
401. --SPDR 500 ETF TR (SPY)					Buy (add'l)	05/28/14	L		
402.					Buy (add'l)	10/08/14	M		
403. --ISHARES TR RUSSEL MIDCAP INDEX FUND (IWR)									
404. --VANGUARD INTL EQUITY INDEX FD EUROPE ETF (VGK)					Sold	10/08/14	L	A	
405. --JPMORGAN TR II HIGH YIELD FD SELECT (FUND 3580)					Sold	07/22/14	J	A	
406. --JPMORGAN TR II LARGE CAP GROWTH FD (SEEGX)					Sold	05/28/14	M	E	
407. --JPMORGAN TR I INTERM TX FREE BD FD INST (FUND 1374)									
408. --JPMORGAN TRUST II MKT EXPAN INDEX FUND (PGMIX)					Sold (part)	11/04/14	K	A	

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 28 of 32

Name of Person Reporting

Tharp, John J.

Date of Report

11/05/2015

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)
409. --JP MORGAN TR I INTL VALUE FUND (JIESX)					Buy (add'l)	12/19/14	L		
410. --JP MORGAN TR I STRG OPPORTUNITY INCM FD (FUND 3844)					Buy (add'l)	07/22/14	J		
411.					Sold	10/20/14	K	B	
412. --JP MORGAN TR I TAX AWARE EQUITY FD INSTL (JPDEX) (flka SELECT JPESX)									
413. --DELAWARE GROUP GLOBAL & INTL FDS EMERG MKT INST MUTUAL FUND (DEMIX)					Sold	02/04/14	K	C	
414. --EATON VANCE MUT FDS TR FLT RATE FUND					Sold	07/22/14	J	A	
415. --MATTHEWS INTL FUDS PAC TIGER INST FUND (MIPTX)					Sold (part)	02/04/14	K	C	
416.					Sold	03/06/14	K	D	
417. --T ROWE PRICE INTL FDS NEW ASIA FD (PRASX)					Buy (add'l)	10/20/14	J		
418. --MFS INTL VALUE I FUND (MINIX)									
419. --DODGE&COX FD INTL STOCK FD (DODFX)									
420. --PRIMECAP ODYSSEY FUNDS ODYSSEY STK FD (POSKX)									
421. --HARTFORD CAP APPRE CL I MUTUAL FUND (ITHIX)									
422. --GATEWAY FD-Y (GTEYX)									
423. --NEUBERGER BERMAN EQUITY --FDS MULCAP OPP INS FUND (NMULX)									
424. --PIMCO FD COMMODITIES PLUS STGY P MUTUAL FUND (PCLPX)					Sold (part)	01/24/14	K	A	

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		

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)
425.					Sold (part)	05/28/14	K	B	
426.					Sold (part)	10/20/14	K	A	
427.					Sold	11/19/14	K	A	
428. --JP MORGAN MULTI SECTOR INCOME FD SELECT (FUND 2130)					Buy (add'l)	07/22/14	J		
429.					Sold	10/20/14	K	A	
430. --JPM INTREPID VALUE FD (FUND 1136)									
431. --CAPITAL PRIVATE CLIENT SVCS NON US EQUITIES (CNUSX)					Buy (add'l)	01/27/14	L		
432. --ISHARES MSCI EAFE INDX FD (EFA)					Buy (add'l)	10/20/14	L		
433.					Sold (part)	12/15/14	M	A	
434. --OAKMARK INTL FD-I (OAKIX)					Sold	12/19/14	M	A	
435. --JPM CHINA REGION FD-SELECT (JCHSX)									
436. --JPM GLOBAL RES ENH INDEX FD- SELECT (JEITX)					Buy (add'l)	02/05/14	L		
437.					Buy (add'l)	12/15/14	M		
438. --EQUINOX FDS TR CB STGY I (EBSIX)					Sold	02/24/14	M	A	
439. --GOLDMAN SACHS TR STRG INCM INSTI (GSZIX)									
440. --DODGE & COX INCOME FD									
441. --JPM INTL CURR INCOME FD SELECT (FUND 3831)					Sold	01/24/14	K	A	

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		

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 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)

442. --JPM Intl Value Fd-Instl (JNUSX)					Buy	12/19/14	L		
443. --Brown Adv Japan Alpha (BARJX)					Buy	03/07/14	K		
444. --Gothan Absolute Return (GARIX)					Buy	01/08/14	L		
445. --INV Balance Risc Alloc - Y (ABRYX)					Buy	02/24/14	M		
446. --DB Market Plus WTI					Buy	05/29/14	K		
447. --JPM Daily Return Note					Buy	05/07/14	K		
448.					Buy (add'l)	07/11/14	K		
449.					Buy (add'l)	11/21/14	K		
450.					Sold (part)	11/21/14	L	A	
451. --JPM Lev Cont Buff Eq WTI					Buy	09/26/14	K		
452.					Sold	12/08/14	K	A	

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

Page 31 of 32

Name of Person Reporting

Tharp, John J.

Date of Report

11/05/2015

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

Additional Information Concerning Part VII.A., Description of Investments and Trusts:

Line 2: Full description: Bright Start 529 Blended Age Based 18 Years Portfolio (no control).

Lines 25, 99, 220, 360: Name change; formerly Walgreen Co.

Lines 2, 4, 8-10, 25-27: One formerly dependent daughter is no longer a dependent. She owned assets also owned by others and still held. Accordingly, asset values therefore may reflect lower value without reportable event. Assets affected are designated with a "(Y)" after the asset name but because the asset is still held, columns B through D have been completed.

Line 62: I am the co-trustee of Trust #1 (a trust created by family member). I have no beneficial interest in that trust and receive no fees. I have no position or interest in any of the other trusts listed (#2 - 21). My spouse is a co-trustee of each of those trusts except for Trust #7. She is the sole beneficiary of Trusts #2-#5. She has a 25% beneficial interest in Trusts #6, #7, and #21. She has no beneficial interest in Trusts #8-20. Accordingly, I have reported 100% of the value of Trusts 6 and 21 (because my spouse is the trustee) and 25% of the value and gains in Trust 7 (because my spouse is only a 25% beneficiary and not the trustee). In prior years, I mistakenly reversed this reporting, listing only 25% of the value/gains for Trust 6 and the full value/gains for Trust 7.

Additional Information Concerning Part VII.C., Valuation of Investments and Trusts:

Trusts #6 and #7 contain assets that required different valuation methods. For Trust #6, the farm land valuation method is "W"; the cash account valuation method is "T." For Trust #7, the condominium valuation method is "W"; the valuation method for all other assets listed is "T."

Additional Information Concerning Part VILD., Transactions:

Lines 127, 248, 319, and 388: This asset (GLD) was erroneously reported in 2013 as a partial sale when in fact it was a complete sale. The value and gain figures were correct on the 2013 Report.

Lines 135, 256, 327, and 396: This asset (PCRIX) was erroneously reported in 2013 as a partial sale when in fact it was a complete sale. The value and gain figures were correct on the 2013 Report.

Additional Information Concerning Amendment on 11/05/2015:

The original form omitted the sale disposition of JPMorgan Str Opp Fund (JSOSX). That disposition has been added as new line 149. The transactions beginning on line 149 of the original report have therefore all shifted down one row, now beginning at Row 150.

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/ John J. Tharp**

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