

FINANCIAL DISCLOSURE REPORT FOR CALENDAR YEAR 2019

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 05/13/2020
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 01/01/2019 to 12/31/2019
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.)

POSITION

NAME OF ORGANIZATION/ENTITY

- | | |
|---------------|---|
| 1. Co-Trustee | Trust #1 (family trust; no reportable assets because I did not create the trust and have no beneficial interest in the trust) |
| 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

Tharp, John J.

Date of Report

05/13/2020

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.		
2.		
3.		
4.		

B. Spouse's Non-Investment Income - If you were married during any portion of the reporting year, complete this section.

(Dollar amount not required except for honoraria.)



NONE (No reportable non-investment income.)

<u>DATE</u>	<u>SOURCE AND TYPE</u>
1. 2019	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.)

<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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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.	United Pacific Life (n/k/a Genworth Life Ins. Co.)	Loan #1	K
2.	United Pacific Life (n/k/a Genworth Life Ins. Co.)	Loan #2	K
3.	JP Morgan Chase	Credit Card	K
4.			
5.			

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)	B	Dividend			Sold	01/18/19	K	C	
2. DowDuPont (common stock)	A	Dividend							
3. General Electric (common stock)	A	Dividend	J	T					
4. IBM (common stock)	C	Dividend	M	T					
5. JP Morgan Chase Bank Accounts	A	Interest	M	T					
6. Merrill Lynch Bank Deposit Program	A	Interest			Closed	07/19/19	J		
7. Northwestern Mutual Insurance Policies (Whole Life)	D	Dividend	M	T					
8. Pfizer (common stock)	C	Dividend	M	T					
9. United Pacific Life Ins. (Universal Life; no control) (nka Genworth)	D	Dividend	N	T					
10. U.S. Savings Bonds		None	K	T					
11. Vanguard Dividend Growth Fund	C	Dividend	M	T					
12. Vanguard Energy Fund	A	Dividend	K	T					
13. Vanguard Federal Money Market Fund	A	Int./Div.	L	T					
14. Vanguard Information Tech ETF	B	Dividend	M	T					
15. Vanguard Mid-Cap ETF	A	Dividend	K	T					
16. Vanguard Long-Term Tax Exempt Bond Fund	B	Dividend	K	T					
17. Vanguard S&P 500 Index Fund	B	Dividend	M	T					

1. Income Gain Codes:

(See Columns B1 and D4)

2. Value Codes

(See Columns C1 and D3)

3. Value Method Codes

(See Column C2)

A =\$1,000 or less

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

J =\$15,000 or less

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

P3 =\$25,000,001 - \$50,000,000

Q =Appraisal

U =Book Value

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

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

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

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

R =Cost (Real Estate Only)

V =Other

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

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

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

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

P4 =More than \$50,000,000

S =Assessment

W =Estimated

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

H2 =More than \$5,000,000

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

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

T =Cash Market

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

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18. Vanguard Prime Money Market Fund	A	Int./Div.	J	T					
19. Fidelity CORE Cash Sweep Fund	A	Interest	J	T	Open	07/19/19	J		
20. Capital One Checking	A	Interest	J	T					
21. Corteva	A	Dividend	J	T					
22.					Sold (part)	06/01/19	J	A	
23. Dow	A	Dividend	J	T					
24. Dupont De Nemours	A	Dividend	K	T					
25. Wabtec	A	Dividend	J	T					
26.					Sold (part)	02/19/19	J	A	
27. Vanguard Growth ETF	A	Dividend	K	T	Buy	07/23/19	K		
28. PTC Inc. (X)		None	J	T					
29. IRA #1 (H)									
30. --Vanguard Total International Stock Index Fund	C	Dividend	L	T					
31. --Vanguard Total Stock Market Index Fund	C	Dividend	M	T					
32. --Vanguard Total Bond Market Index Fund	B	Dividend	K	T					
33. IRA #2 (H)									
34. --Vanguard Total International Stock Index Fund	A	Dividend	J	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 \$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. --Vanguard Total Stock Market Index Fund	B	Dividend	L	T					
36. --Vanguard Total Bond Market Index Fund	A	Dividend	J	T					
37. IRA #3 (H)									
38. --Fidelity Magellan Fund	E	Dividend	N	T					
39. IRA #4 (H)									
40. --Vanguard 500 Index Fund	B	Dividend	L	T					
41. IRA #5 (H)									
42. --CIVIX - MFO Causeway Cap Mgmt Tr Intl Value FD Instl Cl	D	Dividend	M	T					
43. --DFCEX - MFO DFA Invt. Dimensions Group Inc Emerging Mkts	C	Dividend	M	T					
44. --DFEVX - MFO DFA Emerging Markets Value	C	Dividend	M	T					
45. --DFITX - MFO DFA Invt Dimensions Group Inc Intl Real Estate	D	Dividend	L	T					
46. --DFREX - MFO DFA Invt Dimensions Group Inc. Real Estate	B	Dividend	L	T					
47. --GUNR - MFC Flexshares TR Morningstar Global Upstream NRIF	C	Dividend	L	T					
48. --HLMIX - MFO Harding Loevner FDS Inc. Intl Equity Portfolio	D	Dividend	N	T					
49. --NMFIX MFB Northern Multimanager	B	Dividend	L	T					
50. --NOMIX - MFB Northern Mid Cap Index Fund	C	Dividend	M	T					
51. --NOSIX - MFB Northern Funds Stock Index Fund	E	Dividend	O	T					

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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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	Amount Code 1 (A-H)	Type (e.g., div., rent, or int.)	Value Code 2 (J-P)	Value Method Code 3 (Q-W)	Type (e.g., buy, sell, redemption)	Date mm/dd/yy	Value Code 2 (J-P)	Gain Code 1 (A-H)	Identity of buyer/seller (if private transaction)
52. --NSIDX - MFB Northern Funds Small Cap Index Fund	B	Dividend	M	T	Sold (part)	05/03/19	K	D	
53. QDF MFC Flexshares Trust Quality	D	Dividend	N	T					
54. NHFIX MFB Northern High Yield Fixed Income	B	Dividend	K	T	Buy (add'l)	12/13/19	J		
55. BHYIX Black Rock Federal High Yield Bond	D	Int./Div.	M	T	Buy (add'l)	12/13/19	J		
56. NOGXX Northern US Govt Money Market	A	Int./Div.	K	T					
57. IRA #6 (H)									
58. --Fidelity Blue Chip Growth	C	Dividend	M	T					
59. --Fidelity Independence	E	Dividend	N	T					
60. IRA #7 (H)									
61. --Fidelity Independence	C	Dividend	K	T					
62. Trust #1 (H)									
63. Trust #2 (H)									
64. --Allstate (common)	B	Dividend	L	T					
65. --American Electric Power (common)	B	Dividend	K	T					
66. --Anadarko Petroleum (common)	A	Dividend			Sold (part)	08/09/19	K	E	
67. --AT&T (common)	C	Dividend	L	T					
68. --Blackrock Global Allocation C	A	Dividend	J	T					

1. Income Gain Codes:

(See Columns B1 and D4)

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(See Columns C1 and D3)

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(See Column C2)

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69. --BP Amoco (ADR)	A	Dividend	J	T					
70. --Chemours	A	Dividend	J	T					
71. --Conoco Phillips (common)	A	Dividend	K	T					
72. --DowDuPont (common)	A	Dividend							
73. --Duke Energy (common)	A	Dividend	J	T					
74. --Exxon (common)	C	Dividend	L	T					
75. --Fortune Brands Home & Security (common)	A	Dividend	K	T					
76. --Hershey (common)	B	Dividend	L	T					
77. --ISHARES Russell Mid Cap ETF	A	Dividend	K	T					
78. --ISHARES S&P Growth ETF (IVW)	A	Dividend	K	T	Buy (add'l)	07/22/19	K		
79. --Ivy Asset Strategy	B	Dividend	K	T					
80. --JP Morgan Chase Cash Accounts	A	Dividend	K	T					
81. --JP Morgan Tr I US Small Co. Cl C	A	Dividend	J	T					
82. --JP Morgan Tr II Large Cap Growth (formerly JP Morgan Dynamic Growth)	D	Dividend	L	T					
83. --Lincoln National Group (common)	A	Dividend	K	T					
84. --Merck (common)	B	Dividend	K	T					
85. --Pfizer (common)	A	Dividend	J	T					

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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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	Amount Code 1 (A-H)	Type (e.g., div., rent, or int.)	Value Code 2 (J-P)	Value Method Code 3 (Q-W)	Type (e.g., buy, sell, redemption)	Date mm/dd/yy	Value Code 2 (J-P)	Gain Code 1 (A-H)	Identity of buyer/seller (if private transaction)
86. --Phillips 66 (common)	A	Dividend	K	T					
87. --Sterling Cap FDS Mid Value FD (OVECX)	D	Dividend	K	T					
88. --Walgreen's Boots Alliance (common)	C	Dividend	M	T					
89. --Enbridge Inc. (common) (formerly Spectra Energy)	A	Dividend	J	T					
90. --Ishares Core S&P Small Cap ETF	A	Dividend	K	T	Buy	01/01/19	K		
91. Corteva Inc.	A	Dividend	J	T					
92. Dow Inc.	A	Dividend	J	T					
93.					Sold (part)	04/18/19	J	A	
94. Dupont De Nemours Inc.	A	Dividend	J	T					
95.					Sold (part)	06/05/19	J	A	
96. Invesco Exchange Traded Fd Tr Dynamic Lg Cap	A	Dividend	J	T	Buy	07/22/19	J		
97. Occidental Petroleum (formerly Anadarko Petroleum)	A	Dividend	J	T					
98. Trust #3 (H)									
99. --3-M (common)	B	Dividend	L	T					
100. --Allstate (common)	A	Dividend	K	T					
101. --Bank of America (common)	A	Dividend	J	T					
102. --DowDuPont (common)	A	Dividend							

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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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103. --Exelon (common)	A	Dividend	J	T					
104. --Exxon (common)	B	Dividend	K	T					
105. --IBM (common)	A	Dividend	J	T					
106. --JP Morgan Chase (common)	A	Dividend	K	T					
107. --JP Morgan US Treasury Plus Money Market Acct.	A	Dividend	J	T					
108. --Lincoln National Corp. (common)	A	Dividend	J	T					
109. --Pfizer (common)	B	Dividend	L	T					
110. --Sherwin Williams (common)	B	Dividend	M	T					
111. Corteva Inc.	A	Dividend	J	T					
112. Dow Inc.	A	Dividend	J	T					
113. Dupont De Nemours Inc.	A	Dividend	J	T					
114. Trust #4 (H)									
115. --3-M (common)	C	Dividend	M	T					
116. --Exxon Mobil (common)	D	Dividend	M	T					
117. --McDonald's (common)	E	Dividend	O	T					
118. --JP Morgan Chase Cash Account	A	Dividend	J	T					
119. Trust #5 (H)									

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A. Description of Assets (including trust assets) Place "(X)" after each asset exempt from prior disclosure	B. Income during reporting period		C. Gross value at end of reporting period		D. Transactions during reporting period				
	(1)	(2)	(1)	(2)	(1)	(2)	(3)	(4)	(5)
	Amount Code 1 (A-H)	Type (e.g., div., rent, or int.)	Value Code 2 (J-P)	Value Method Code 3 (Q-W)	Type (e.g., buy, sell, redemption)	Date mm/dd/yy	Value Code 2 (J-P)	Gain Code 1 (A-H)	Identity of buyer/seller (if private transaction)
120. --JP Morgan Chase Cash Account	A	Interest	J	T					
121. --25% of Moles Family Partnership (H)									
122. ---NSIDX-Northern Funds Sall Cap Index Fund	A	Dividend	J	T					
123. ---NOSIX-Northern Funds Stock Index Fund	B	Dividend	L	T					
124. ---NOMIX-Northern Mid Cap Index Fund	A	Dividend	J	T					
125. ---DVY-ISHares Tr Dow Jones Select Divid Index Fd	A	Dividend	J	T					
126. ---GUNR-Flexshares TR Morningstar Global Upstream Nat ResIdx	A	Dividend	J	T					
127. ---DFCEX-Invt Dimensions Group Emerging Mkts Core Eq Prt	B	Dividend	K	T					
128. ---DFITX-Invt Dimensions Group Int'l Real Estate Secs Ptf	A	Dividend	J	T					
129. ---HLMIX-Harding Loevner Funds Inc Int'l Equity Prt	A	Dividend	K	T					
130. ---CIVIX-Causeway Cap Mgmt Tr Int'l Value Fd	A	Dividend	K	T					
131. ---DFREX-Invt Dimensions Group Real Estate Secs Prt	A	Dividend	J	T					
132. ---DFEVX-Emerging Markets Value Fd	A	Dividend	J	T					
133. ---BHYIX Blackrock Fed High Yield Bond Portfolio	A	Dividend	J	T					
134. ---QDF MFC Flexshares Trust Quality Div	A	Dividend	J	T					
135. ---MFB Northern US Govt Money Mkt Fund (Cash Account)	A	Int./Div.	J	T					
136. ---NFRA MFC Flexshares TR STOXX Global Broad	A	Dividend	J	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	
	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

Tharp, John J.

Date of Report

05/13/2020

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. Trust #6 (H)									
138. --Farm land, Christian County, Illinois	E	Distribution	M	W					
139. --JP Morgan Chase Cash Account	A	Distribution	K	T					
140. Trust #7 (H)									
141. --iShares MSCI EAFE Index Fund (EFA)	D	Dividend	K	T	Sold (part)	08/27/19	J	A	
142.					Sold (part)	11/22/19	J	A	
143. --Condominium Unit (real estate),TK Sarasota County, Florida	B	Rent	M	W					
144. --JPM Cap Core Plus (JLPSX) NKA JPM L/ Cap Core -R6 (JLPYX)	A	Dividend			Sold	04/04/19	K	B	
145. --Neuberger Berman Multi Cap Opportunities Fd (NMULX)	A	Dividend	K	T	Sold (part)	04/04/19	J	B	
146. --Spdr S&P 500 ETF Trust (SPY)	C	Dividend	M	T					
147. --MFS Intl Value Fd-I (MINIX) NKA MFS Intl Value -R6 (MINJX)	A	Dividend	K	T	Sold (part)	04/04/19	J	C	
148. --American Fund Intl Vntg (AIVG) (formerly Cap Prv Client (CNUSX))	B	Dividend	K	T	Sold (part)	02/20/19	J	A	
149. --JPM Gbl R/E Fund (JEITX) NKA JPM Global R/E Fd (JEIYX)	C	Dividend	K	T	Sold (part)	02/01/19	K	C	
150. --JP Morgan Tax Free Instl Sweep Fund (#840)	A	Interest	J	T					
151. --Met West T/R CL I (MWTIX) NKA Met West T/R BD-PLN	A	Dividend	J	T	Sold (part)	01/31/19	J	A	
152. ---AMG Mgr Pictet Intl (APCTX) NKA AMG Mgr Pic Intl (APCZX)	A	Dividend			Sold	02/02/19	J	A	
153. ---iShares Inc MSCI Japan New (EWI)	A	Dividend	J	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 \$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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Tharp, John J.

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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. ---JP Morgan Cash Account	A	Interest	J	T					
155. ---Dodge & Cox Income Fd (DODIX)	A	Dividend	J	T	Sold (part)	02/01/19	J	A	
156. ---Ishares S&P 500/Barra Growth (IVW)	A	Dividend	J	T					
157. ---Ishares S&P 500/Barra Value (IVE)	A	Dividend	J	T					
158. ---Six Circles U.S. Unconstrained (CUSUX)	B	Dividend	L	T	Buy (add'l)	01/03/19	J		
159.					Buy (add'l)	01/22/19	J		
160.					Buy (add'l)	04/05/19	K		
161. ---JPMorgan BetaBuilders Canada ETF (BBCA)	A	Dividend	K	T	Buy (add'l)	04/05/19	J		
162. ---Six Circles Int'l Unconstrained (CIUEX)	B	Dividend	K	T	Buy (add'l)	01/02/19	J		
163.					Buy (add'l)	04/05/19	J		
164. ---JPMorgan BetaBuilders Europe (BBEU)	A	Dividend	K	T	Sold (part)	03/05/19	J	A	
165. ---JPMorgan BetaBuilders Japan (BBJP)	A	Dividend	J	T					
166. ---JPMorgan BetaBuilders Developed Asia (BBAX)	A	Dividend	J	T					
167. ---Six Circles Tax Aware Ultra Short	A	Dividend	J	T					
168. ---Ishares Barclays 1-3 year Treasury	A	Dividend			Sold (part)	01/31/19	J	A	
169.					Sold (part)	02/01/19	J	A	
170.					Buy (add'l)	02/22/19	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

Tharp, John J.

Date of Report

05/13/2020

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)	(2)	(1)	(2)	(1)	(2)	(3)	(4)	(5)
	Amount Code 1 (A-H)	Type (e.g., div., rent, or int.)	Value Code 2 (J-P)	Value Method Code 3 (Q-W)	Type (e.g., buy, sell, redemption)	Date mm/dd/yy	Value Code 2 (J-P)	Gain Code 1 (A-H)	Identity of buyer/seller (if private transaction)
171.					Buy (add'l)	03/07/19	J		
172.					Sold	06/07/19	K	A	
173. ---Fidelity Intermediate Municipal	A	Dividend							
174. ---Amer Funds T/E Bnd Fund AM-F3	A	Dividend	K	T	Sold (part)	02/01/19	J	A	
175.					Buy (add'l)	11/26/19	J		
176. ---Fidelity 500 Index Fund	A	Dividend	J	T	Buy	08/27/19	K		
177.					Sold (part)	11/22/19	J	A	
178. ---Fidelity Sch Str Tr (FIQZ) (formerly Fidelity Intermed. Muni)	B	Dividend	L	T	Buy (add'l)	02/01/19	J		
179.					Buy (add'l)	11/26/19	J		
180. ---Ishares 7-10 Year Treasury (IEF)	A	Dividend	J	T	Buy	09/03/19	J		
181. ---Ishares 3-7 Year Treasury (IEI)	A	Dividend	J	T	Buy	09/03/19	J		
182. ---Ishares Short Treasury (SHV)	A	Dividend	J	T	Buy	06/11/19	K		
183.					Sold (part)	09/19/19	J	A	
184. Trust #8 (H)									
185. --JPMORGAN CASH ACCOUNT	A	Interest	K	T					
186. --SPDR 500 ETF TR (SPY)	D	Dividend	N	T					
187. --JPM TX FREE (FUND 1374) NKA JPM Interim T/F R6 (JITZX)	C	Dividend	M	T	Buy (add'l)	02/08/19	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	
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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

Tharp, John J.

Date of Report

05/13/2020

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)	(2)	(1)	(2)	(1)	(2)	(3)	(4)	(5)
	Amount Code 1 (A-H)	Type (e.g., div., rent, or int.)	Value Code 2 (J-P)	Value Method Code 3 (Q-W)	Type (e.g., buy, sell, redemption)	Date mm/dd/yy	Value Code 2 (J-P)	Gain Code 1 (A-H)	Identity of buyer/seller (if private transaction)
188. --JP MORGAN TR I TAX AWARE EQUITY FD INSTL (JPDEX) (fka SELECT JPESX)	C	Dividend	K	T					
189. --MFS Intl Val Fd (MINIX) KNA MFS Intl Val Fd R6 (MINJX)	B	Dividend	K	T	Sold (part)	02/20/19	J	B	
190. --PRIMECAP ODYSSEY FUNDS ODYSSEY STK FD (POSKX)	C	Dividend	L	T					
191. --Hartf.Cap. Appr. I (TTHX) KNA Har.Cap.Appr. F (HCAFX)	A	Dividend			Sold (part)	03/01/19	J	B	
192.					Sold	04/03/19	J	A	
193. --NEUBERGER BERMAN EQUITY --FDS MULCAP OPP INS FUND (NMULX)	A	Dividend			Sold	04/03/19	L	E	
194. --ISHARES MSCI EAFE INDX FD (EFA)	C	Dividend	M	T					
195. --JPM Glob R/E Idx Fd (JEITX) NKA JPM Glob R/E R6 (JEIYX)	D	Dividend	M	T					
196. --Doubleline Total Ret Bond-I (DBLTX)	A	Dividend	K	T	Buy (add'l)	12/27/19	J		
197. ---AMG Mgr PicIntl (ACPTX) NKA AMG Mgr Pic Int Z (APCZX)	C	Dividend			Sold (part)	02/20/19	J	A	
198.					Sold	04/03/19	K	B	
199. ---Dodge & Cox Intl Stock Fd (DODFX)	A	Dividend			Sold (part)	04/03/19	J	B	
200.					Sold	08/23/19	K	B	
201. ---iShares Inc MSCI Japan New (EWJ)	A	Dividend	K	T					
202. ---Dodge & Cox Income Fd (DODIX)	A	Dividend			Sold	02/08/19	J	A	
203. ---Ishares S&P 500/Barra Growth Index (IVW)	A	Dividend	K	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	
	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

Tharp, John J.

Date of Report

05/13/2020

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)	(2)	(1)	(2)	(1)	(2)	(3)	(4)	(5)
	Amount Code 1 (A-H)	Type (e.g., div., rent, or int.)	Value Code 2 (J-P)	Value Method Code 3 (Q-W)	Type (e.g., buy, sell, redemption)	Date mm/dd/yy	Value Code 2 (J-P)	Gain Code 1 (A-H)	Identity of buyer/seller (if private transaction)
204. ---Ishares S&P 500/Barra Value Index (IVE)	A	Dividend	K	T					
205. ---Six Circles U.S. Unconstrained (CUSUX)	C	Dividend	M	T	Buy (add'l)	01/10/19	K		
206.					Buy (add'l)	04/03/19	L		
207.					Buy (add'l)	08/23/19	J		
208. ---JPMorgan BetaBuilders Canada ETF (BBCA)	B	Dividend	K	T	Buy (add'l)	04/29/19	J		
209. ---Six Circles Int'l (CIUEX)	A	Dividend	K	T	Buy (add'l)	01/10/19	J		
210.					Buy (add'l)	04/03/19	K		
211. ---JPMorgan BetaBuilders Europe ETF (BBEU)	B	Dividend	K	T					
212. ---JPMorgan BetaBuilders Japan ETF (BBJP)	A	Dividend	K	T					
213. ---JPMorgan BetaBuilders Developed Asia (BBAX)	A	Dividend	J	T					
214. ---Six Circles Tax Aware Ultra Short	A	Dividend	K	T	Buy (add'l)	12/27/19	J		
215. ---Ishares Barclays 1-3 year Treasurty	A	Dividend			Sold (part)	01/10/19	J	A	
216.					Buy (add'l)	02/20/19	J		
217.					Buy (add'l)	03/01/19	J		
218.					Sold	06/07/19	L	A	
219. ---Ameri Funds T/E Bond Fund (AM-f3)	B	Dividend	L	T	Buy (add'l)	12/27/19	J		
220. ---Ishares 7-10 Year Treasury (IEF)	A	Dividend	J	T	Buy	09/23/19	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	
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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)	(2)	(1)	(2)	(1)	(2)	(3)	(4)	(5)
	Amount Code 1 (A-H)	Type (e.g., div., rent, or int.)	Value Code 2 (J-P)	Value Method Code 3 (Q-W)	Type (e.g., buy, sell, redemption)	Date mm/dd/yy	Value Code 2 (J-P)	Gain Code 1 (A-H)	Identity of buyer/seller (if private transaction)
221. ---Ishares 3-7 Year Treasury (IEI)	A	Dividend	J	T	Buy	09/23/19	J		
222. ---Ishares Short Treasury (SHV)					Buy	06/07/19	L		
223.					Sold (part)	09/23/19	K	A	
224.					Buy (add'l)	12/27/19	J		
225.									

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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Tharp, John J.	05/13/2020

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

Additional Information Concerning Part VII, Investments and Trusts:

██████████ is the sole beneficiary of Trusts #2-#5 and has a 25% beneficial interest in Trusts #6 through #8. I have reported only the value of ██████████ beneficial interest in these trusts.

Line 2: Dow DuPont spun off into two companies, Dow and DuPont; value of additional shares received in those stocks is included in their individual entries. Income recorded on Line 2 here was recieved prior to the breakup.

Line 6: Merrill Lynch Bank Deposit Program is a cash account associated with a Merrill Lynch Health Savings Account invested in Vanguard Information Tech ETF (reported on Line 20. Cash accumulated in the HSA was reported with this Line 6 entry. I transferred this HSA account to Fidelity on 7/19/19, making no changes to the investment in the Vanguard Information Tech ETF investment. This entry on Line 6 reflects the transfer of the accumulated cash in the Merrill Lynch HSA; receipt of that cash in the Fidelity HSA is reflected at Line 19 (Fidelity CORE Cash Sweep fund).

Line 21: Corteva is a spinoff from Dow (Line23). Software would not function properly; dialog box to input the source of the spinoff would not record entry of the data.

Line 23: Dow is a spinoff from Dow DuPont (Line 2). Software would not function properly; dialog box to input the source of the spinoff would not record entry of the data.

Line 24: Du Pont is a spinoff from Dow DuPont (Line 2). Software would not function properly; dialog box to input the source of the spinoff would not record entry of the data.

Line 25: Wabtec is a spinoff from GE (Line 3). Software would not function properly; dialog box to input the source of the spinoff would not record entry of the data.

Line 62: Trust #1 has no reportable assets. I did not create the Trust and am not a beneficiary.

Line 66: Anadarko Petroleum merged with Occidental Petroleum; the surviving entity is Occidental Petroleum, reported on Line98. Some shares of Anadarko were sold, rather than merged; that is the sale transaction reported on Line 67. The Gross Value at end of reporting period has been left blank due to merger; gross value is now reflected for Occidental Petroleum at Line 98.

Line 72: DowDupont split apart. This line reports income earned prior to breakup. Income and valuations for Dow and Dupont post-breakup are reported at Lines 93 and 95 respectively.

Line 90: Purchased on 8/3/2018; inadvertently omitted from 2018 report. Transaction is reported as of 1/1/19 (software will not permit use of the actual 2018 transaction date); value of initial purchase transaction is recorded.

Line 91: Corteva Inc. shares obtained as spinoff from DowDupont (Line 72). Software would not function properly; dialog box to input the source of the spinoff would not record entry of the data.

Line 92: Dow Inc. shares obtained as a spinoff from DowDupont (Line 72). Software would not function properly; dialog box to input the source of the spinoff would not record entry of the data.

Line 94: Du Pont is a spinoff from DowDuPont (Line 72). Software would not function properly; dialog box to input the source of the spinoff would not record entry of the data.

Line 102: DowDupont split apart. This line reports income earned prior to breakup. Income and valuations for Dow and Dupont post-breakup are reported at Lines 112 and 113 respectively.

Line 111: Corteva Inc. shares obtained as spinoff from DowDupont (Line 102). Software would not function properly; dialog box to input the source of the spinoff would not record entry of the data.

Line 112: Dow Inc. shares obtained as a spinoff from DowDupont (Line 102). Software would not function properly; dialog box to input the source of the spinoff would not record entry of the data.

Line 113: Du Pont is a spinoff from Dow DuPont (Line 102). Software would not function properly; dialog box to input the source of the spinoff would not record entry of the data.

Line 148: Name change. Capital Private Client SVCS Cap Non-US Equities (CNUSX) became American Funds Intl Vantage fund (AIVG) as of 11/12/19.

Line 173: Fidelity Intermediate Municipal fund converted to Fidelity Scho Str Tr (FIQZ) (Line 178) ; income before conversion reported on this Line 173.

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Name of Person Reporting Tharp, John J.	Date of Report 05/13/2020
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VIII. ADDITIONAL INFORMATION OR EXPLANATIONS. *(Indicate part of report.)*

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Name of Person Reporting

Tharp, John J.

Date of Report

05/13/2020

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)

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