

FINANCIAL DISCLOSURE REPORT FOR CALENDAR YEAR 2020

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 05/13/2021
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 01/01/2020 to 12/31/2020
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.	

FINANCIAL DISCLOSURE REPORT

Page 2 of 22

Name of Person Reporting

Tharp, John J.

Date of Report

05/13/2021

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. 2020	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.				

Name of Person Reporting	Date of Report
Tharp, John J.	05/13/2021

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

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)
18. Corteva	A	Dividend	J	T					
19. Dow	A	Dividend	K	T					
20. Dupont De Nemours	A	Dividend	K	T					
21. Wabtec	A	Dividend	J	T					
22. Vanguard Growth ETF	A	Dividend	K	T					
23. PTC Inc. (X)		None	J	T					
24. Viatris (common)	A	Dividend	J	T	Spinoff (from line 5)	11/16/20	J		
25.					Sold (part)	11/16/20	J	A	
26. IRA #1 (H)									
27. --Vanguard Total International Stock Index Fund	B	Dividend	M	T					
28. --Vanguard Total Stock Market Index Fund	C	Dividend	M	T					
29. --Vanguard Total Bond Market Index Fund	B	Dividend	K	T					
30. IRA #2 (H)									
31. --Vanguard Total International Stock Index Fund	A	Dividend	J	T					
32. --Vanguard Total Stock Market Index Fund	B	Dividend	L	T					
33. --Vanguard Total Bond Market Index Fund	A	Dividend	J	T					
34. IRA #3 (H)									

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

FINANCIAL DISCLOSURE REPORT

Page 6 of 22

Name of Person Reporting

Tharp, John J.

Date of Report

05/13/2021

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. --Fidelity Magellan Fund	B	Dividend	N	T					
36. IRA #4 (H)									
37. --Vanguard 500 Index Fund	B	Dividend	L	T					
38. IRA #5 (H)									
39. --CIVIX - MFO Causeway Cap Mgmt Tr Intl Value FD Instl Cl	D	Dividend	M	T					
40. --DFCEX - MFO DFA Invt. Dimensions Group Inc Emerging Mkts	C	Dividend	M	T					
41. --DFEVX - MFO DFA Emerging Markets Value	A	Dividend			Sold	01/24/20	M	A	
42. --DFITX - MFO DFA Invt Dimensions Group Inc Intl Real Estate	A	Dividend	K	T					
43. --DFREX - MFO DFA Invt Dimensions Group Inc. Real Estate	A	Dividend	L	T					
44. --GUNR - MFC Flexshares TR Morningstar Global Upstream NRIF	B	Dividend	L	T					
45. --HLMIX - MFO Harding Loevner FDS Inc. Intl Equity Portfolio	A	Dividend			Sold	01/24/20	N	F	
46. --NMFIX MFB Northern Multimanager	B	Dividend	L	T					
47. --NOMIX - MFB Northern Mid Cap Index Fund	B	Dividend	M	T					
48. --NOSIX - MFB Northern Funds Stock Index Fund	D	Dividend	O	T					
49. --NSIDX - MFB Northern Funds Small Cap Index Fund	B	Dividend	M	T					
50. --QDF MFC Flexshares Trust Quality	D	Dividend	N	T					
51. --NHFIX MFB Northern High Yield Fixed Income	B	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		

FINANCIAL DISCLOSURE REPORT

Name of Person Reporting	Date of Report
Tharp, John J.	05/13/2021

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)
52. --BHYIX Black Rock Federal High Yield Bond	D	Int./Div.	M	T	Buy (add'l)	01/24/20	K		
53. --MIEIX MFS Instl Intl Equity Fund	A	Dividend	L	T	Buy	01/24/20	L		
54. --VEA VAnguard FTSE Developed Mkts ETF	D	Dividend	N	T	Buy	01/24/20	M		
55. --VWO MFC Vanguard Intl Equity Index Fd FTSE Emerging Mkts	C	Dividend	M	T	Buy	01/24/20	M		
56. NOGXX Northern US Govt Money Market	A	Int./Div.	L	T					
57. IRA #6 (H)									
58. --Fidelity Blue Chip Growth	D	Dividend	M	T					
59. --Fidelity Independence	D	Dividend	O	T					
60. IRA #7 (H)									
61. --Fidelity Independence	A	Dividend	L	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. --AT&T (common)	C	Dividend	K	T					
67. --Blackrock Global Allocation C	B	Dividend	K	T					
68. --BP Amoco (ADR)	A	Dividend	J	T					

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

FINANCIAL DISCLOSURE REPORT

Page 8 of 22

Name of Person Reporting

Tharp, John J.

Date of Report

05/13/2021

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)
69. --Chemours	A	Dividend	J	T					
70. --Conoco Phillips (common)	A	Dividend	J	T					
71. --Duke Energy (common)	A	Dividend	J	T					
72. --Exxon (common)	C	Dividend	K	T					
73. --Fortune Brands Home & Security (common)	A	Dividend	K	T					
74. --Hershey (common)	B	Dividend	L	T					
75. --ISHARES Russell Mid Cap ETF	A	Dividend	K	T					
76. --ISHARES S&P Growth ETF (IVW)	A	Dividend	K	T					
77. --Ivy Asset Strategy	A	Dividend	K	T					
78. --JP Morgan Chase Cash Accounts	A	Dividend	K	T					
79. --JP Morgan Tr I US Small Co. Cl C	A	Dividend	J	T					
80. --JP Morgan Tr II Large Cap Growth (formerly JP Morgan Dynamic Growth)	D	Dividend	L	T					
81. --Lincoln National Group (common)	A	Dividend	K	T					
82. --Merck (common)	B	Dividend	K	T					
83. --Pfizer (common)	A	Dividend	J	T					
84. --Phillips 66 (common)	A	Dividend	J	T					
85. --Sterling Cap FDS Mid Value FD (OVECX)		Dividend	K	T					

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

FINANCIAL DISCLOSURE REPORT

Page 9 of 22

Name of Person Reporting

Tharp, John J.

Date of Report

05/13/2021

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. --Walgreen's Boots Alliance (common)	C	Dividend	L	T					
87. --Enbridge Inc. (common) (formerly Spectra Energy)	A	Dividend	J	T					
88. --Ishares Core S&P Small Cap ETF	A	Dividend	L	T					
89. --Corteva Inc.	A	Dividend	J	T					
90. --Dow Inc.	A	Dividend	J	T					
91. --Dupont De Nemours Inc.	A	Dividend	J	T					
92. --Invesco Exchange Traded Fd Tr Dynamic Lg Cap	A	Dividend	K	T					
93. --Occidental Petroleum (formerly Anadarko Petroleum)	A	Dividend	J	T					
94. --Ivy Asset Strategy CL A	A	Dividend	J	T	Spinoff (from line 77)	01/14/20	J		
95. --Viatris		Dividend	J	T	Spinoff (from line 83)	11/16/20	J		
96. Trust #3 (H)									
97. --3-M (common)	B	Dividend	L	T					
98. --Allstate (common)	A	Dividend	K	T					
99. --Bank of America (common)	A	Dividend	J	T					
100. --Exelon (common)	A	Dividend	J	T					
101. --Exxon (common)	B	Dividend	K	T					
102. --IBM (common)	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	

FINANCIAL DISCLOSURE REPORT

Page 10 of 22

Name of Person Reporting

Tharp, John J.

Date of Report

05/13/2021

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)
103. --JP Morgan Chase (common)	A	Dividend	J	T					
104. --JP Morgan US Treasury Plus Money Market Acct.	A	Dividend							
105. --Lincoln National Corp. (common)	A	Dividend	J	T					
106. --Pfizer (common)	B	Dividend	L	T					
107. --Sherwin Williams (common)	B	Dividend	M	T					
108. Corteva Inc.	A	Dividend	J	T					
109. Dow Inc.	A	Dividend	J	T					
110. Dupont De Nemours Inc.	A	Dividend	J	T					
111. --JP Morgan Deposit account	A	Int./Div.	J	T	Spinoff (from line 104)	03/02/20	J		
112. --Viatris	A	Dividend	J	T	Spinoff (from line 106)	11/16/20	J		
113. Trust #4 (H)									
114. --3-M (common)	C	Dividend	M	T					
115. --Exxon Mobil (common)	D	Dividend	L	T					
116. --McDonald's (common)	E	Dividend	O	T					
117. --JP Morgan Chase Cash Account	A	Interest	J	T					
118. Trust #5 (H)									
119. --JP Morgan Chase Cash Account	A	Interest	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		

FINANCIAL DISCLOSURE REPORT

Page 11 of 22

Name of Person Reporting

Tharp, John J.

Date of Report

05/13/2021

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)
120. --25% of Moles Family Partnership (H)									
121. ---NSIDX-Northern Funds Sall Cap Index Fund	A	Dividend	J	T					
122. ---NOSIX-Northern Funds Stock Index Fund	C	Dividend	L	T					
123. ---NOMIX-Northern Mid Cap Index Fund	A	Dividend	J	T					
124. ---DVY-ISHares Tr Dow Jones Select Divid Index Fd	A	Dividend	J	T					
125. ---GUNR-Flexshares TR Morningstar Global Upstream Nat ResIdx	A	Dividend	J	T					
126. ---DFCEX-Invt Dimensions Group Emerging Mkts Core Eq Prt	A	Dividend	J	T					
127. ---DFITX-Invt Dimensions Group Int'l Real Estate Secs Ptf	A	Dividend	J	T					
128. ---HLMIX-Harding Loevner Funds Inc Int'l Equity Prt	A	Dividend	K	T					
129. ---CIVIX-Causeway Cap Mgmt Tr Int'l Value Fd	A	Dividend	K	T					
130. ---DFREX-Invt Dimensions Group Real Estate Secs Prt	A	Dividend	J	T					
131. ---DFEVX-Emerging Markets Value Fd	A	Dividend	J	T					
132. ---BHYIX Blackrock Fed High Yield Bond Portfolio	A	Dividend	J	T					
133. ---QDF MFC Flexshares Trust Quality Div	A	Dividend	J	T					
134. ---MFB Northern US Govt Money Mkt Fund (Cash Account)	A	Int./Div.	J	T					
135. ---NFRA MFC Flexshares TR STOXX Global Broad	A	Dividend	J	T					
136. Trust #6 (H)									

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 22

Name of Person Reporting

Tharp, John J.

Date of Report

05/13/2021

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)
137. --Farm land, Christian County, Illinois	D	Distribution	M	W					
138. --JP Morgan Chase Cash Account	A	Distribution	K	T					
139. Trust #7 (H)									
140. --IShares MSCI EAFE Index Fund (EFA)	A	Dividend	K	T	Sold (part)	03/09/20	J	A	
141.					Sold (part)	04/27/20	J	A	
142. --Condominium Unit (real estate),TK Sarasota County, Florida	C	Rent	M	W					
143. --Neuberger Berman Multi Cap Opportunities Fd (NMULX)	A	Dividend			Sold (part)	01/27/20	K	D	
144.					Sold (part)	02/10/20	J	B	
145.					Sold	03/16/20	J	A	
146. --Spdr S&P 500 ETF Trust (SPY)	C	Dividend	N	T					
147. --MFS Intl Value Fd-I (MINIX) NKA MFS Intl Value -R6 (MINJX)	A	Dividend	J	T	Sold (part)	02/10/20	J	C	
148.					Sold (part)	03/09/20	J	B	
149.					Sold (part)	07/15/20	J	B	
150. --American Fund Intl Vntg (AIVG) (formerly Cap Prv Client (CNUSX))	B	Dividend			Sold (part)	01/27/20	J	A	
151.					Sold (part)	01/31/20	J	A	
152.					Sold (part)	09/25/20	J	A	
153. --JPM Gbl R/E Fund (JEITX) NKA JPM Global R/E Fd (JEIYX)	A	Dividend			Sold	06/11/20	K	B	

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)	(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)
154. --JP Morgan Tax Free Instl Sweep Fund (#840)	A	Interest	K	T					
155. --Met West T/R CL I (MWTIX) NKA Met West T/R BD-PLN	A	Dividend			Sold	05/07/20	J	A	
156. --Ishares Inc MSCI Japan New (EWI)	A	Dividend	J	T	Sold (part)	02/10/20	J	A	
157.					Sold (part)	03/09/20	J	A	
158. --JP Morgan Cash Account	A	Interest	J	T					
159. --Dodge & Cox Income Fd (DODIX)	A	Dividend			Sold	06/16/20	J	A	
160. --Ishares S&P 500/Barra Growth (IVW)	A	Dividend	K	T	Sold (part)	03/16/20	J	A	
161.					Buy (add'l)	03/27/20	J		
162. --Ishares S&P 500/Barra Value (IVE)	A	Dividend	K	T	Sold (part)	03/16/20	J	A	
163.					Buy (add'l)	03/27/20	J		
164.					Buy (add'l)	03/30/20	J		
165. --Six Circles U.S. Unconstrained (CUSUX)	C	Dividend	L	T	Sold (part)	10/21/20	J	B	
166. --JPMorgan BetaBuilders Canada ETF (BBCA)	A	Dividend	K	T	Buy (add'l)	06/23/20	J		
167. --Six Circles Int'l Unconstrained (CIUEX)	B	Dividend	L	T	Buy (add'l)	02/03/20	J		
168.					Buy (add'l)	02/11/20	J		
169.					Sold (part)	06/02/20	K	B	
170.					Buy (add'l)	07/16/20	K		

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

FINANCIAL DISCLOSURE REPORT

Page 14 of 22

Name of Person Reporting

Tharp, John J.

Date of Report

05/13/2021

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.					Buy (add'l)	12/18/20	J		
172. --JPMorgan BetaBuilders Europe (BBEU)	A	Dividend	J	T	Sold (part)	03/16/20	J	A	
173.					Buy (add'l)	06/04/20	J		
174.					Buy (add'l)	06/05/20	J		
175.					Buy (add'l)	06/15/20	J		
176.					Buy (add'l)	06/16/20	J		
177.					Buy (add'l)	06/18/20	J		
178.					Buy (add'l)	06/22/20	J		
179.					Sold (part)	07/15/20	K	B	
180.					Sold (part)	10/21/20	J	A	
181.					Sold (part)	12/17/20	J	B	
182. --JPMorgan BetaBuilders Japan (BBJP)	A	Dividend	K	T	Buy (add'l)	06/16/20	J		
183.					Buy (add'l)	06/18/20	J		
184.					Buy (add'l)	06/19/20	J		
185.					Buy (add'l)	06/24/20	J		
186. --JPMorgan BetaBuilders Developed Asia (BBAX)	A	Dividend	J	T	Buy (add'l)	06/18/20	J		
187.					Buy (add'l)	06/19/20	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 15 of 22

Name of Person Reporting

Tharp, John J.

Date of Report

05/13/2021

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. --Six Circles Tax Aware Ultra Short	A	Dividend			Sold	10/30/20	J	A	
189. --Amer Funds T/E Bnd Fund AM-F3	A	Dividend			Buy (add'l)	01/07/20	J		
190.					Sold (part)	09/23/20	K	A	
191.					Sold	10/30/20	J	A	
192. --Fidelity 500 Index Fund	A	Dividend	K	T	Buy (add'l)	02/11/20	J		
193.					Buy (add'l)	03/10/20	K		
194.					Sold (part)	03/25/20	K	A	
195.					Buy (add'l)	06/12/20	J		
196.					Buy (add'l)	09/24/20	K		
197.					Sold (part)	10/21/20	J	A	
198. --Fidelity Sch Str Tr (FIQZ) (formerly Fidelity Intermed. Muni)	B	Dividend	L	T	Buy (add'l)	01/07/20	J		
199.					Buy (add'l)	06/12/20	J		
200.					Sold (part)	09/25/20	J	A	
201.					Sold (part)	10/30/20	J	A	
202. --Ishares 7-10 Year Treasury (IEF)	A	Dividend			Sold	04/27/20	J	A	
203. --Ishares 3-7 Year Treasury (IEI)	A	Dividend	L	T	Buy (add'l)	11/04/20	J		
204. --Ishares Short Treasury (SHV)	A	Dividend			Buy (add'l)	01/08/20	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		

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)
205.					Sold (part)	01/27/20	J	A	
206.					Sold (part)	09/25/20	J	A	
207.					Sold	10/30/20	J	A	
208. --Fidelity Intl Index (FSPS)	A	Dividend	J	T	Buy	02/11/20	J		
209.					Sold (part)	03/16/20	J	A	
210. --Ishares Core MSCI Emerging (IEMG)	A	Dividend	K	T	Buy	10/23/20	K		
211. --PIMCO High Yield Fund (PHIYX)	A	Dividend	K	T	Buy	05/08/20	J		
212. --PIMCO High Yield Q (PHYQX)	B	Dividend	K	T	Buy	04/02/20	K		
213.					Buy (add'l)	05/08/20	J		
214. --Six Circles Tax Aware Bond (CBTAX)	A	Dividend	K	T	Buy	09/28/20	K		
215.					Buy (add'l)	11/02/20	K		
216. Trust #8 (H)									
217. --JPMORGAN CASH ACCOUNT	A	Interest	L	T					
218. --SPDR 500 ETF TR (SPY)	D	Dividend	O	T					
219. --JPM TX FREE (FUND 1374) NKA JPM Interim T/F R6 (JITZX)	C	Dividend	M	T	Buy (add'l)	03/13/20	J		
220.					Sold (part)	11/02/20	K	A	

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

FINANCIAL DISCLOSURE REPORT

Page 17 of 22

Name of Person Reporting

Tharp, John J.

Date of Report

05/13/2021

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. --JP MORGAN TR I TAX AWARE EQUITY FD INSTL (JPDEX) (fka SELECT JPESX)	C	Dividend	K	T					
222. --MFS Intl Val Fd (MINIX) KNA MFS Intl Val Fd R6 (MINJX)	A	Dividend			Sold (part)	02/18/20	K	D	
223.					Sold	03/10/20	J	C	
224. --PRIMECAP ODYSSEY FUNDS ODYSSEY STK FD (POSKX)	B	Dividend	K	T	Sold (part)	02/18/20	J	A	
225.					Sold (part)	02/18/20	K	E	
226. --ISHARES MSCI EAFE INDX FD (EFA)	C	Dividend	M	T					
227. --JPM Glob R/E Idx Fd (JEITX) NKA JPM Glob R/E R6 (JEIYX)	A	Dividend			Sold	06/11/20	L	D	
228. --Doubleline Total Ret Bond-I (DBLTX)	A	Dividend			Sold (part)	05/07/20	K	A	
229.					Sold	06/11/20	J	A	
230. ---iShares Inc MSCI Japan New (EWJ)	A	Dividend	J	T	Sold (part)	02/18/20	J	A	
231.					Sold (part)	03/10/20	J	A	
232. ---Ishares S&P 500/Barra Growth Index (IVW)	A	Dividend	K	T					
233. ---Ishares S&P 500/Barra Value Index (IVE)	A	Dividend	K	T					
234. ---Six Circles U.S. Unconstrained (CUSUX)	D	Dividend	M	T					
235. ---JPMorgan BetaBuilders Canada ETF (BBCA)	B	Dividend	K	T					
236. ---Six Circles Int'l (CIUEX)	B	Dividend	M	T	Buy (add'l)	02/19/20	K		

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

FINANCIAL DISCLOSURE REPORT

Page 18 of 22

Name of Person Reporting

Tharp, John J.

Date of Report

05/13/2021

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)
237.					Sold (part)	06/03/20	K	A	
238.					Buy (add'l)	07/15/20	K		
239. ---JPMorgan BetaBuilders Europe ETF (BBEU)	A	Dividend	K	T	Sold (part)	03/10/20	K	A	
240.					Sold (part)	04/27/20	J	A	
241.					Buy (add'l)	06/05/20	K		
242.					Buy (add'l)	06/08/20	J		
243.					Buy (add'l)	06/09/20	J		
244.					Buy (add'l)	06/15/20	K		
245.					Buy (add'l)	06/16/20	K		
246.					Sold (part)	07/14/20	K	A	
247.					Sold (part)	10/21/20	J	B	
248.					Sold (part)	12/01/20	K	C	
249. ---JPMorgan BetaBuilders Japan ETF (BBJP)	A	Dividend	K	T	Buy (add'l)	06/16/20	J		
250.					Buy (add'l)	06/18/20	J		
251. ---JPMorgan BetaBuilders Developed Asia (BBAX)	A	Dividend	J	T	Sold (part)	03/10/20	J	A	
252.					Buy (add'l)	06/18/20	J		
253.					Buy (add'l)	06/19/20	J		

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

FINANCIAL DISCLOSURE REPORT

Page 19 of 22

Name of Person Reporting

Tharp, John J.

Date of Report

05/13/2021

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)
254. ---Six Circles Tax Aware Ultra Short	A	Dividend			Sold	11/02/20	K	A	
255. ---Ameri Funds T/E Bond Fund (AM-f3)	B	Dividend			Sold (part)	09/23/20	K	B	
256.					Sold	11/02/20	K	A	
257. ---Ishares 7-10 Year Treasury (IEF)	A	Dividend			Sold	04/27/20	K	B	
258. ---Ishares 3-7 Year Treasury (IEI)	A	Dividend	K	T	Buy	11/04/20	K		
259. ---Ishares Short Treasury (SHV)	A	Dividend			Sold	11/02/20	K	A	
260. ---Fidelity 500 Index (FXAIXX)	A	Dividend	L	T	Buy	02/19/20	K		
261.					Buy (add'l)	02/27/20	J		
262.					Buy (add'l)	03/11/20	K		
263.					Sold (part)	03/16/20	K	A	
264.					Buy (add'l)	06/12/20	K		
265.					Buy (add'l)	07/01/20	K		
266. ---Ishares Core MSCI Emerging Market (IEMG)	A	Dividend	K	T	Buy	10/23/20	K		
267. ---PIMCO High Yield Fund (PHIYX)	B	Dividend	K	T	Buy	05/12/20	K		
268. ---PGIM High Yield-Q (PHYQY)	C	Dividend	L	T	Buy	04/01/20	K		
269.					Buy (add'l)	05/08/20	J		
270. ---Six Circles Tax Aware Bond (CBTAX)	A	Dividend	L	T	Buy	09/24/20	K		

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

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)
271.					Buy (add'l)	11/03/20	K		
272. ---Fidelity Int'l Index	A	Dividend			Buy	02/27/20	J		
273.					Sold	04/27/20	J	A	
274.									
275.									

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

FINANCIAL DISCLOSURE REPORT

Page 21 of 22

Name of Person Reporting

Tharp, John J.

Date of Report

05/13/2021

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 15: Funds in Vanguard Prime Money Market Fund were transferred to Vanguard Federal Money Marekt Fund and are included in the reporting for that asset on Line 10.

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

Line 104: Cash in JPMorgan US Treasury Plus money market fund transferred to JPMorgan deposit account (Line 111). Interest earned prior to transfer is reported on Line 104; after transfer on Line 111.

FINANCIAL DISCLOSURE REPORT

Page 22 of 22

Name of Person Reporting

Tharp, John J.

Date of Report

05/13/2021

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