

FINANCIAL DISCLOSURE REPORT FOR CALENDAR YEAR 2013

Report Required by the Ethics
in Government Act of 1978
(5 U.S.C. app. §§ 101-111)

1. Person Reporting (last name, first, middle initial) WHIPPLE, HAROLD D.	2. Court or Organization Western District of Missouri	3. Date of Report 05/01/2014
4. Title (Article III judges indicate active or senior status; magistrate judges indicate full- or part-time) U. S. DISTRICT JUDGE (Senior Status)	5a. Report Type (check appropriate type) ☐ Nomination ☐ Date ☐ Initial ☒ Annual ☐ Final 5b. ☐ Amended Report	6. Reporting Period 01/01/2013 to 12/31/2013
7. Chambers or Office Address 8462 Chas. Evans Whittaker Crt 400 East 9th Street Kansas City, MO 64106		
IMPORTANT NOTES: The instructions accompanying this form must be followed. Complete all parts, checking the NONE box for each part where you have no reportable information.		

I. POSITIONS. (Reporting individual only; see pp. 9-13 of filing instructions.)

☒ NONE (No reportable positions.)

POSITION

NAME OF ORGANIZATION/ENTITY

1.		
2.		
3.		
4.		
5.		

II. AGREEMENTS. (Reporting individual only; see pp. 14-16 of filing instructions.)

☒ NONE (No reportable agreements.)

DATE

PARTIES AND TERMS

1.	
2.	
3.	

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Name of Person Reporting

WHIPPLE, HAROLD D.

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III. NON-INVESTMENT INCOME. *(Reporting individual and spouse; see pp. 17-24 of filing instructions.)***A. Filer's Non-Investment Income**☐ NONE *(No reportable non-investment income.)*

<u>DATE</u>	<u>SOURCE AND TYPE</u>	<u>INCOME</u> (yours, not spouse's)
1. 2013	Missouri Judges Retirement System - Pension	\$42,775.00
2.		
3.		
4.		

B. Spouse's Non-Investment Income - *If you were married during any portion of the reporting year, complete this section.**(Dollar amount not required except for honoraria.)*☐ NONE *(No reportable non-investment income.)*

<u>DATE</u>	<u>SOURCE AND TYPE</u>
1. 2013	Administrative Office - U.S. Courts - Administrative Assistant
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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WHIPPLE, HAROLD D.

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V. GIFTS. (Includes those to spouse and dependent children; see pp. 28-31 of filing instructions.)

☒ NONE (No reportable gifts.)

SOURCE	DESCRIPTION	VALUE
1.		
2.		
3.		
4.		
5.		

VI. LIABILITIES. (Includes those of spouse and dependent children; see pp. 32-33 of filing instructions.)

☒ NONE (No reportable liabilities.)

CREDITOR	DESCRIPTION	VALUE CODE
1.		
2.		
3.		
4.		
5.		

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Name of Person Reporting

WHIPPLE, HAROLD D.

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VII. INVESTMENTS and TRUSTS – income, value, transactions (Includes those of spouse and dependent children; see pp. 34-60 of filing instructions.)

☐ NONE (No reportable income, assets, or transactions.)

A. Description of Assets (including trust assets) Place "(X)" after each asset exempt from prior disclosure	B. Income during reporting period		C. Gross value at end of reporting period		D. Transactions during reporting period				
	(1) Amount Code 1 (A-H)	(2) Type (e.g., div., rent, or int.)	(1) Value Code 2 (J-P)	(2) Value Method Code 3 (Q-W)	(1) Type (e.g., buy, sell, redemption)	(2) Date mm/dd/yy	(3) Value Code 2 (J-P)	(4) Gain Code 1 (A-H)	(5) Identity of buyer/seller (if private transaction)
1. Woodlands, Dallas Co., MO		None	L	W					
2. Woodlands, Dallas Co., MO		None	K	W					
3. Office Bldg., Lebanon, MO		None	K	W					
4. 1/2 Owner woodlands, Laclede Co., MO		None	J	W					
5. 1/3 Owner woodlands, Lebanon, MO		None	K	W					
6. Ally Demand Notes	A	Interest	L	T					
7. Bank of America Accounts	A	Interest	M	T					
8. Mid-Missouri Bank Account	A	Interest	M	T					
9. Federated Total Return Bond Fund	B	Dividend	K	T	Sold (part)	7/10/13	K		
10. Pimco Foreign Bond Fund	A	Dividend			Buy (add'l)	02/14/13	J		
11.					Sold (part)	06/03/13	J		
12.					Sold	12/24/13	K		
13. Vanguard GNMA Fund	A	Dividend			Sold	06/21/13	J		
14. Vanguard Developed Markets Index	B	Dividend	K	T	Sold (part)	02/25/13	K		
15. Vanguard Institutional Index	A	Dividend	K	T					
16. Dimensional Fund Advisors Investment Dimensions Group	D	Dividend	N	T	Sold (part)	01/14/13	J		
17.					Sold (part)	02/25/13	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 H = \$1,000,001 - \$5,000,000	D = \$5,001 - \$15,000 I = More than \$5,000,000	E = \$15,001 - \$50,000 J = More than \$50,000,000
2. Value Codes (See Columns C1 and D3)	J = \$15,000 or less N = \$250,001 - \$500,000 P3 = \$250,001 - \$500,000,000	K = \$15,001 - \$50,000 O = \$500,001 - \$1,000,000	P1 = \$1,000,001 - \$5,000,000 P4 = More than \$5,000,000,000	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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☐ NONE (No reportable income, assets, or transactions.)

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	(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. IRA #1	D	Dividend	N	T					
19. -- AIM Invesco European Growth Fund CL A									
20. -- AIM Invesco American Franchise CL A									
21. --AIM Invesco Moderate Allocation CL A									
22. Pim. Comm.	A	Dividend	J	T	Buy (add'l)	01/10/13	J		
23.					Buy (add'l)	12/04/13	J		
24.					Sold (part)	12/18/13	J		
25. Vanguard Inflation Protected	B	Dividend	L	T					
26. Vanguard Index Funds Grw Idx Signal	A	Dividend	K	T					
27. Central Bank Accounts	A	Interest	L	T					
28. Academy Bank	A	Interest	M	T					
29. Federated High-Yield Bond	B	Dividend	K	T	Buy (add'l)	01/10/13	J		
30.					Sold (part)	01/16/13	J		
31.					Buy (add'l)	12/04/13	J		
32. Federated Ultra-Short Bond	A	Dividend	J	T	Buy	01/25/13	J		
33.					Buy (add'l)	12/04/13	J		
34. Vanguard Short-Term Inv. Grade	B	Dividend	L	T	Buy (add'l)	01/16/13	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	

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☐ NONE (No reportable income, assets, or transactions.)

A. Description of Assets (including trust assets) Place "(X)" after each asset exempt from prior disclosure	B. Income during reporting period		C. Gross value at end of reporting period		D. Transactions during reporting period				
	(1) Amount Code 1 (A-H)	(2) Type (e.g., div., rent, or int.)	(1) Value Code 2 (J-P)	(2) Value Method Code 3 (Q-W)	(1) Type (e.g., buy, sell, redemption)	(2) Date mm/dd/yy	(3) Value Code 2 (J-P)	(4) Gain Code 1 (A-H)	(5) Identity of buyer/seller (if private transaction)
35.					Sold (part)	11/25/13	J		
36.					Buy (add'l)	12/04/13	J		
37. Vanguard Int-Term Inv. Grade	B	Dividend	K	T	Sold (part)	07/10/13	J		
38. AQR Diversified	A	Dividend	K	T	Buy (add'l)	01/10/13	J		
39.					Sold (part)	02/14/13	K		
40.					Buy (add'l)	12/04/13	K		
41. Aberdeen Emerging Mkts	A	Dividend	K	T	Buy (add'l)	01/10/13	J		
42.					Buy (add'l)	12/04/13	J		
43.					Sold (part)	12/19/13	J		
44. Cohen & Steers Realty	A	Dividend			Buy (add'l)	01/10/13	J		
45.					Sold (part)	06/03/13	J		
46.					Buy (add'l)	12/04/13	J		
47.					Sold	12/19/13	J		
48. Eaton Vance Floating	A	Dividend	K	T	Buy (add'l)	01/10/13	J		
49.					Buy (add'l)	06/21/13	J		
50.					Buy (add'l)	12/04/13	J		
51. Eaton Vance Global		None			Buy (add'l)	01/10/13	J		

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

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☐ NONE (No reportable income, assets, or transactions.)

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.					Sold (part)	02/14/13	J		
53.					Buy (add'l)	06/13/13	J		
54.					Sold	11/14/13	K		
55. Federated Strategic	A	Dividend	K	T	Buy (add'l)	01/10/13	J		
56.					Sold (part)	11/25/13	J		
57.					Buy (add'l)	12/04/13	J		
58. Fidelity Contrafund Inc.	C	Dividend	K	T	Buy (add'l)	01/10/13	K		
59.					Sold (part)	11/25/13	J		
60.					Buy (add'l)	12/04/13	J		
61. Goldman Sachs Emerging Mkts	A	Dividend			Buy (add'l)	01/10/13	J		
62.					Sold	06/03/13	J		
63. Goldman Sachs US Equity		None			Sold	01/14/13	J		
64. ING Global Real Estate	A	Dividend	K	T	Buy (add'l)	01/10/13	J		
65.					Buy (add'l)	06/03/13	J		
66.					Sold (part)	11/21/13	J		
67.					Buy (add'l)	11/25/13	J		
68.					Sold (part)	12/19/13	J		

1. Income Gain Codes: (See Columns B1 and D4)	A = \$1,000 or less F = \$50,001 - \$100,000	B = \$1,001 - \$2,500 G = \$100,001 - \$1,000,000	C = \$2,501 - \$5,000 H1 = \$1,000,001 - \$5,000,000	D = \$5,001 - \$15,000 H2 = More than \$5,000,000	E = \$15,001 - \$50,000
2. Value Codes (See Columns C1 and D3)	J = \$15,000 or less N = \$250,001 - \$500,000 P3 = \$25,000,001 - \$50,000,000	K = \$15,001 - \$50,000 O = \$500,001 - \$1,000,000	L = \$50,001 - \$100,000 P1 = \$1,000,001 - \$5,000,000 P4 = More than \$5,000,000	M = \$100,001 - \$250,000 P2 = \$5,000,001 - \$25,000,000	
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69. IShares S&P Growth Allocation		None			Sold	01/09/13	J		
70. Janus Triton Fund		None			Buy (add'l)	01/10/13	J		
71.					Sold	06/03/13	J		
72. JP Morgan Core	A	Dividend			Buy (add'l)	01/10/13	J		
73.					Sold (part)	01/16/13	J		
74.					Sold	07/10/13	K		
75. Loomis Sayles Global Bond	A	Dividend	K	T	Buy (add'l)	01/10/13	J		
76.					Sold (part)	02/14/13	J		
77.					Sold (part)	06/03/13	J		
78.					Buy (add'l)	12/24/13	K		
79. MFS Int'l New Discovery	A	Dividend	J	T	Buy (add'l)	01/10/13	J		
80.					Buy (add'l)	12/04/13	J		
81.					Buy (add'l)	12/18/13	J		
82. Mainstay Large Cap Growth Fund	A	Dividend			Sold	01/14/13	K		
83. Matthews Pacific Tiger Fund	A	Dividend	J	T	Buy (add'l)	11/25/13	J		
84. Meridian Growth Fund Inc.	B	Dividend	J	T	Buy (add'l)	01/11/13	J		
85.					Buy (add'l)	12/04/13	J		

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86.					Sold (part)	12/27/13	J		
87. Southernsun Small Cap Intl (formerly Northern Lights Southernsun)	A	Dividend	J	T	Buy (add'l)	01/10/13	J		
88.					Buy (add'l)	12/04/13	J		
89. Oakmark International	A	Dividend	J	T	Buy (add'l)	01/10/13	J		
90.					Buy (add'l)	12/04/13	J		
91. PIMCO All Asset	B	Dividend	K	T	Buy (add'l)	01/10/13	K		
92.					Sold (part)	11/14/13	L		
93.					Buy (add'l)	12/04/13	J		
94. PIMCO Low Duration	A	Dividend	K	T	Buy (add'l)	01/10/13	J		
95.					Sold (part)	11/25/13	J		
96.					Buy (add'l)	12/04/13	J		
97. PIMCO Real Return	A	Dividend	J	T	Buy (add'l)	01/10/13	J		
98.					Sold (part)	08/19/13	J		
99. PIMCO Total Return	B	Dividend	K	T	Buy (add'l)	01/10/13	J		
100.					Sold (part)	01/16/13	J		
101.					Sold (part)	11/25/13	J		
102.					Buy (add'l)	12/04/13	J		

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103. Robeco Boston Partners	A	Dividend	K	T	Buy (add'l)	01/10/13	J		
104.					Sold (part)	11/25/13	J		
105. Tortoise Energy Infrastructure	B	Dividend	K	T					
106. Vanguard Equity Income	B	Dividend	K	T	Buy (add'l)	01/10/13	J		
107.					Buy (add'l)	12/04/13	J		
108. Vanguard Total Stock	A	Dividend	J	T	Buy (add'l)	01/10/13	J		
109. Virtus Emerging Mkts	A	Dividend	J	T	Buy (add'l)	01/10/13	J		
110.					Buy (add'l)	12/04/13	J		
111.					Sold (part)	12/19/13	J		
112. Wasatch Small Cap Growth Fund	A	Dividend	J	T	Buy (add'l)	01/10/13	J		
113.					Buy (add'l)	12/04/13	J		
114. AQR Managed Futures Strategy Alternative FD CL 1 (x)	A	Dividend	K	T	Buy	02/14/13	K		
115.					Buy (add'l)	06/13/13	J		
116.					Sold (part)	11/14/13	J		
117.					Buy (add'l)	12/04/13	J		
118. AQR Multi Strategy Alternative FD 1 (x)	B	Dividend	K	T	Buy	02/14/13	K		
119.					Buy (add'l)	06/13/13	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	

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Name of Person Reporting

WHIPPLE, HAROLD D.

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VII. INVESTMENTS and TRUSTS -- income, value, transactions (Includes those of spouse and dependent children; see pp. 34-60 of filing instructions.)

☐ NONE (No reportable income, assets, or transactions.)

A. Description of Assets (including trust assets) Place "(X)" after each asset exempt from prior disclosure	B. Income during reporting period		C. Gross value at end of reporting period		D. Transactions during reporting period				
	(1) Amount Code 1 (A-H)	(2) Type (e.g., div., rent, or int.)	(1) Value Code 2 (J-P)	(2) Value Method Code 3 (Q-W)	(1) Type (e.g., buy, sell, redemption)	(2) Date mm/dd/yy	(3) Value Code 2 (J-P)	(4) Gain Code 1 (A-H)	(5) Identity of buyer/seller (if private transaction)
120.					Sold (part)	11/14/13	J		
121.					Buy (add'l)	12/04/13	J		
122. Aston Fairpointe Midcap FD CL I (x)		None	J	T	Buy	12/31/13	J		
123. Driehaus Select Credit FD (x)	B	Dividend	L	T	Buy	02/14/13	L		
124.					Buy (add'l)	06/13/13	J		
125.					Buy (add'l)	12/04/13	K		
126. Eaton Vance Parametric Commodity (x)		None	J	T	Buy	12/04/13	J		
127. Goldman Sachs Mid Cap Value FD (x)	B	Dividend	J	T	Buy	06/03/13	J		
128.					Buy (add'l)	12/04/13	J		
129.					Sold (part)	12/31/13	J		
130. Goldman Sachs Strategic Income FD CL I (x)	A	Dividend	L	T	Buy	07/10/13	L		
131.					Sold (part)	11/25/13	J		
132.					Buy (add'l)	12/04/13	J		
133. MFS Emerging Markets Debt CL I (x)	B	Dividend	J	T	Buy	02/14/13	J		
134.					Sold (part)	11/25/13	J		
135.					Buy (add'l)	12/04/13	J		
136. Templeton Global Bond Fund (x)	A	Dividend	K	T	Buy	02/14/13	J		

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

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Name of Person Reporting

WHIPPLE, HAROLD D.

Date of Report

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VII. INVESTMENTS and TRUSTS -- income, value, transactions (Includes those of spouse and dependent children; see pp. 34-60 of filing instructions.)

☐ NONE (No reportable income, assets, or transactions.)

A. Description of Assets (including trust assets) Place "(X)" after each asset exempt from prior disclosure	B. Income during reporting period		C. Gross value at end of reporting period		D. Transactions during reporting period				
	(1) Amount Code 1 (A-H)	(2) Type (e.g., div., rent, or int.)	(1) Value Code 2 (J-P)	(2) Value Method Code 3 (Q-W)	(1) Type (e.g., buy, sell, redemption)	(2) Date mm/dd/yy	(3) Value Code 2 (J-P)	(4) Gain Code 1 (A-H)	(5) Identity of buyer/seller (if private transaction)
137.					Buy (add'l)	12/24/13	K		
138. Tortoise/Nuance MLP & Pipeline (x)	A	Dividend	J	T	Buy	01/10/13	J		
139.					Buy (add'l)	12/18/13	J		
140. Whitebox Tactical Opportunities FD (x)	A	Dividend	K	T	Buy	11/14/13	K		
141.					Buy (add'l)	12/04/13	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	

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WHIPPLE, HAROLD D.

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

Part VII. Investments and Trusts. Number 32 of 2012 Report (which is #20 of 2013 Report) formerly known as AIM Invesco Constellation CL A merged and is now known as AIM Invesco American Franchise CL A.

Part VII. Investments and Trusts. Number 33 of 2012 Report (which is #21 of 2013 Report) is actually part of IRA #1. Thus, the information has been included under IRA #1.

Part VII. Investments and Trusts. Number 77 of 2012 report (which is #87 of 2013 Report) formerly known as Northern Lights Southernsun is now known as Southernsun Small Cap Intl.

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Name of Person Reporting

WHIPPLE, HAROLD D.

Date of Report

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IX. CERTIFICATION.

I certify that all information given above (including information pertaining to my spouse and minor or dependent children, if any) is accurate, true, and complete to the best of my knowledge and belief, and that any information not reported was withheld because it met applicable statutory provisions permitting non-disclosure.

I further certify that earned income from outside employment and honoraria and the acceptance of gifts which have been reported are in compliance with the provisions of 5 U.S.C. app. § 501 et. seq., 5 U.S.C. § 7353, and Judicial Conference regulations.

Signature: **S/ HAROLD D. WHIPPLE**

NOTE: ANY INDIVIDUAL WHO KNOWINGLY AND WILLFULLY FALSIFIES OR FAILS TO FILE THIS REPORT MAY BE SUBJECT TO CIVIL AND CRIMINAL SANCTIONS (5 U.S.C. app. § 104)

Committee on Financial Disclosure
Administrative Office of the United States Courts
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