

FINANCIAL DISCLOSURE REPORT FOR CALENDAR YEAR 2016

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 05/14/2017
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 01/01/2016 to 12/31/2016
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) |
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II. AGREEMENTS. (Reporting individual only; see pp. 14-16 of filing instructions.)

☐ NONE (No reportable agreements.)

DATE

PARTIES AND TERMS

- | | |
|---------|--|
| 1. 2017 | Mayer Brown LLP - Final reconciliation of compensation due. No further agreements. |
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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.)*DATESOURCE AND TYPEINCOME
(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.)*DATESOURCE AND TYPE

1. 2016

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.)*SOURCEDATESLOCATIONPURPOSEITEMS PAID OR PROVIDED

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.)*

	<u>SOURCE</u>	<u>DESCRIPTION</u>	<u>VALUE</u>
1.			
2.			
3.			
4.			
5.			

VI. LIABILITIES. *(Includes those of spouse and dependent children; see pp. 32-33 of filing instructions.)*NONE *(No reportable liabilities.)*

	<u>CREDITOR</u>	<u>DESCRIPTION</u>	<u>VALUE CODE</u>
1.	United Pacific Life	Loan #1	K
2.	United Pacific Life	Loan #2	K
3.	JP Morgan Chase	Credit Card	J
4.			
5.			

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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. AT&T (common stock)	B	Dividend	K	T	Sold (part)	01/19/16	K	D	
2. Chemours (X)	A	Dividend	J	T					
3. DuPont (common stock)	B	Dividend	L	T	Sold (part)	04/04/16	K	E	
4. General Electric (common stock)	A	Dividend	K	T					
5. IBM (common stock)	C	Dividend	M	T	Sold (part)	04/04/16	K	E	
6. JP Morgan Chase Bank Accounts	A	Interest	L	T					
7. Krispy Kreme Donuts (common stock) (X)		None			Sold	08/29/16	J	A	
8. Merrill Lynch Bank Deposit Program	A	Interest	J	T					
9. Northwestern Mutual Insurance Policies (Whole Life)	D	Dividend	M	T					
10. Pfizer (common stock)	C	Dividend	M	T	Sold (part)	04/04/16	K	E	
11. United Pacific Life Ins. (Universal Life; no control) (nka Genworth)	D	Dividend	N	T					
12. U.S. Savings Bonds		None	K	T					
13. Vanguard Dividend Growth Fund	B	Dividend	L	T					
14. Vanguard Energy Fund	A	Dividend	K	T					
15. Vanguard Federal Money Market Fund (X)	A	Int./Div.	J	T					
16. Vanguard Information Tech ETF	B	Dividend	L	T					
17. Vanguard International Value Fund (Y)									

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

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	(1) Amount Code 1 (A-H)	(2) Type (e.g., div., rent, or int.)	(1) Value Code 2 (J-P)	(2) Value Method Code 3 (Q-W)	(1) Type (e.g., buy, sell, redemption)	(2) Date mm/dd/yy	(3) Value Code 2 (J-P)	(4) Gain Code 1 (A-H)	(5) Identity of buyer/seller (if private transaction)

18. Vanguard Mid-Cap ETF	A	Dividend	K	T	Buy	04/04/16	J		
19. Vanguard Tax Exempt Money Market Fund (X)	A	Int./Div.	J	T					
20. Vanguard Long-Term Tax Exempt Bond Fund	B	Dividend	K	T					
21. Vanguard S&P 500 Index Fund	B	Dividend	L	T					
22. IRA #1 (H)									
23. --Vanguard Total International Stock Index Fund	B	Dividend	L	T					
24. --Vanguard Total Stock Market Index Fund	B	Dividend	M	T					
25. --Vanguard Total Bond Market Index Fund	A	Dividend	K	T					
26. IRA #2 (H)									
27. --Vanguard Total International Stock Index Fund	A	Dividend	J	T					
28. --Vanguard Total Stock Market Index Fund	A	Dividend	K	T					
29. --Vanguard Total Bond Market Index Fund	A	Dividend	J	T					
30. IRA #3 (H)									
31. --Fidelity Magellan Fund	D	Dividend	M	T					
32. IRA #4 (H)									
33. --Vanguard 500 Index Fund	A	Dividend	K	T					
34. IRA #5 (H)									

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3. Value Method Codes (See Column C2)	Q = Appraisal U = Book Value	R = Cost (Real Estate Only) V = Other	S = Assessment W = Estimated	T = Cash Market	

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35. --CIVIX - MFO Causeway Cap Mgmt Tr Intl Value FD Instl CI	C	Dividend	M	T					
36. --DFCEX - MFO DFA Invt. Dimensions Group Inc Emerging Mkts	B	Dividend	L	T					
37. --DFEVX - MFO DFA Emerging Markets Value	B	Dividend	L	T					
38. --DFITX - MFO DFA Invt Dimensions Group Inc Intl Real Estate	C	Dividend	L	T					
39. --DFREX - MFO DFA Invt Dimensions Group Inc. Real Estate	C	Dividend	L	T					
40. --DVY - MFC IShares TR Dow Jones Select Divid Index Fund	B	Dividend			Sold	05/26/16	M	F	
41. --GUNR - MFC Flexshares TR Morningstar Global Upstream NRIF	A	Dividend	L	T					
42. --HLMIX - MFO Harding Loevner FDS Inc. Intl Equity Portfolio	B	Dividend	M	T					
43. --NMFIX MFB Northern Multimanager	B	Dividend	L	T					
44. --NOMIX - MFB Northern Mid Cap Index Fund	D	Dividend	M	T					
45. --NORXX - MFB Northern Funds Money Market Fund	A	Interest	L	T					
46. --NOSIX - MFB Northern Funds Stock Index Fund	D	Dividend	O	T					
47. --NSIDX - MFB Northern Funds Small Cap Index Fund	C	Dividend	M	T					
48. --PHIYX - MFO Pimco Funds Pac Invt Mgmt Ser HY Instl CL	D	Dividend	M	T					
49. --TDTF - MFC Flexshares Tr IBOXX 5 Yr Tgt Duration TIPS Indx	A	Dividend	K	T					
50. QDF MFC Flexshares Trust Quality	D	Dividend	N	T	Buy	05/26/16	N		
51. IRA #6 (H)									

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(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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52. --Fidelity Blue Chip Growth	B	Dividend	L	T					
53. --Fidelity Independence	E	Dividend	N	T					
54. IRA #7 (H)									
55. --Fidelity Independence	B	Dividend	K	T					
56. Trust #2 (H)									
57. --Allstate (common)	A	Dividend	K	T					
58. --American Electric Power (common)	A	Dividend	K	T					
59. --Anadarko Petroleum (common)	A	Dividend	K	T					
60. --AT&T (common)	C	Dividend	L	T					
61. --Blackrock Global Allocation C	A	Dividend	J	T					
62. --BP Amoco (ADR)	A	Dividend	J	T					
63. --Chemours (Y)									
64. --Conoco Phillips (common)	A	Dividend	K	T					
65. --Dow Chemical (common)	A	Dividend	K	T					
66. --Duke Energy (common)	A	Dividend	J	T					
67. --DuPont (common)	A	Dividend	J	T					
68. --Exelon (common)	A	Dividend			Sold	12/19/16	J	A	

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69. --Exxon (common)	B	Dividend	L	T					
70. --Fortune Brands Home & Security (common)	A	Dividend	K	T					
71. --Hershey (common)	B	Dividend	L	T					
72. --ISHARES Russell Mid Cap ETF	A	Dividend	K	T					
73. --ISHARES S&P Growth ETF (IVW)	A	Dividend	J	T					
74. --Ivy Asset Strategy	A	Dividend	L	T					
75. --JP Morgan Chase Cash Accounts	A	Dividend	K	T					
76. --JP Morgan Tr I US Small Co. Cl C	A	Dividend	J	T					
77. --JP Morgan Tr I Dynamic Growth	A	Dividend	K	T					
78. --Lincoln National Group (common)	A	Dividend	K	T					
79. --Merck (common)	A	Dividend	K	T					
80. --Monsanto (common)	A	Dividend	K	T					
81. --Pfizer (common)	A	Dividend	J	T					
82. --Phillips 66 (common)	A	Dividend	J	T					
83. --Spectra Energy (common)	A	Dividend	J	T					
84. --Sterling Cap FDS Mid Value FD (OVECX)	B	Dividend	K	T					
85. --Walgreen's Boots Alliance (common)	C	Dividend	M	T					

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86. Trust #3 (H)									
87. --3-M (common)	B	Dividend	L	T					
88. --Allstate (common)	A	Dividend	J	T					
89. --Bank of America (common)	A	Dividend	J	T					
90. --Dow Chemical (common)	A	Dividend	K	T					
91. --Exelon (common)	A	Dividend	J	T					
92. --Exxon (common)	B	Dividend	K	T					
93. --IBM (common)	A	Dividend	J	T					
94. --JP Morgan Chase (common)	A	Dividend	J	T					
95. --JP Morgan Chase Cash Account	A	Dividend	J	T					
96. --Lincoln National Corp. (common)	A	Dividend	J	T					
97. --Pfizer (common)	B	Dividend	K	T					
98. --Sherwin Williams (common)	B	Dividend	L	T					
99. Trust #4 (H)									
100. --3-M (common)	C	Dividend	M	T					
101. --Exxon Mobil (common)	C	Dividend	M	T					
102. --McDonald's (common)	D	Dividend	N	T					

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103. --JP Morgan Chase Cash Account	A	Dividend	J	T					
104. Trust #5 (H)									
105. --JP Morgan Chase Cash Account	A	Interest	J	T					
106. --25% of Moles Family Partnership (H)									
107. ---NOTEX-Northern Funds Tax Exempt Fund	A	Dividend	J	T					
108. ---NSIDX-Northern Funds Sall Cap Index Fund	A	Dividend	J	T					
109. ---NOSIX-Northern Funds Stock Index Fund	B	Dividend	K	T					
110. ---NOMIX-Northern Mid Cap Index Fund	A	Dividend	J	T					
111. ---TDTF-Flexshares TR IBOXX 5 yr Tgt TIPS Index Fd	A	Dividend	J	T					
112. ---DVY-IShares Tr Dow Jones Select Divid Index Fd	A	Dividend	J	T	Sold (part)	05/26/16	J	B	
113. ---GUNR-Flexshares TR Morningstar Global Upstream Nat ResIdx	A	Dividend	J	T	Buy	02/25/16	J		
114.					Buy (add'l)	04/22/16	J		
115. ---DFCEX-Invt Dimensions Group Emerging Mkts Core Eq Ptf	A	Dividend	J	T					
116. ---DFITX-Invt Dimensions Group Int'l Real Estate Secs Ptf	A	Dividend	J	T	Buy (add'l)	04/21/16	J		
117. ---HLMIX-Harding Loevner Funds Inc Int'l Equity Ptf	A	Dividend	K	T					
118. ---CIVIX-Causeway Cap Mgmt Tr Int'l Value Fd	A	Dividend	J	T					
119. ---DFREX-Invt Dimensions Group Real Estate Secs Ptf	A	Dividend	J	T	Buy (add'l)	04/21/16	J		

1. Income Gain Codes: (See Columns B1 and D4)	A ~\$1,000 or less F ~\$50,001 - \$100,000	B ~\$1,001 - \$2,500 G ~\$100,001 - \$1,000,000	C ~\$2,501 - \$5,000 H1 ~\$1,000,001 - \$5,000,000	D ~\$5,001 - \$15,000 H2 ~More than \$5,000,000	E ~\$15,001 - \$50,000
2. Value Codes (See Columns C1 and D3)	J ~\$15,000 or less N ~\$250,001 - \$500,000 P3 ~\$250,000,001 - \$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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05/14/2017

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. ---DFEVX-Emerging Markets Value Fd	A	Dividend	J	T					
121. ---NMFIX MFB Northern Multi-Manager	A	Dividend	J	T					
122. ---MFR Northern Fds Cash Accounts	A	Dividend	J	T					
123. ---XLE MFC Select SPDR Tr Energy		None			Sold	02/22/16	J	A	
124. ---BHYIX Blackrock Fed High Yield Bond Portfolio	A	Dividend	J	T					
125. QDF MFC Flexshares Trust Quality Div	A	Dividend	J	T	Buy	06/01/16	J		
126. MFB Northern US Govt Money Mkt Fund (Cash Account)	A	Int./Div.	J	T					
127. Trust #6 (H)									
128. --Farm land, Christian County, Illinois	D	Distribution	M	W					
129. --JP Morgan Chase Cash Account	A	Distribution	K	T					
130. Trust #7 (H)									
131. --iShares Russell MidCap Index Fund (IWR)	A	Dividend	K	T	Sold (part)	02/08/16	J	B	
132.					Buy (add'l)	09/16/16	J		
133. --iShares MSCI EAFE Index Fund (EFA)	A	Dividend	K	T	Buy (add'l)	01/26/16	J		
134.					Sold (part)	04/01/16	J	B	
135.					Buy (add'l)	08/03/16	J		
136.					Buy (add'l)	09/16/16	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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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. --JP Morgan Inter. Tax Free Bond Fund - Sel (Fund 1374)	A	Dividend	K	T	Buy (add'l)	09/13/16	K		
138. --JP Morgan Market Expansion Index Fund (PGMIX)		None			Sold	02/08/16	K	A	
139. --Condominium Unit (real estate), Sarasota County, Florida		None	M	W					
140. --Hartford Capital Appreciation Fd (ITHIX)	A	Dividend	K	T	Sold (part)	08/03/16	J	A	
141. --JPMorgan Large Cap Core Plus Fd-Select (JLPSX)	A	Dividend	K	T					
142. --Neuberger Berman Multi Cap Opportunities Fd (NMULX)	B	Dividend	K	T					
143. --Spdr S&P 500 ETF Trust (SPY)	C	Dividend	M	T	Buy (add'l)	02/08/16	J		
144. --MFS Intl Value Fd-I (MINIX)	A	Dividend	K	T					
145. --Capital Private Client SVCS Cap Non-US Equities (CNUSX)	A	Dividend	K	T	Buy (add'l)	02/16/16	J		
146. --Gateway Fund (GTEYX)	A	Dividend			Sold	08/18/16	J	A	
147. --Goldman Sachs TR Strg Income Inst (GSZIX)	A	Dividend			Sold	09/13/16	J	A	
148. --JP Morgan Global Res Enh Index Fund - Select Fund (JEITX)	B	Dividend	L	T					
149. --JP Morgan Tax Free Instl Sweep Fund (#840)	A	Interest	K	T					
150. --Metropolitan West Funds Total Return CL I (MWTIX)	A	Dividend	J	T					
151. --Equinox Funds Trust Strategy I (EBSIX)		None			Sold (part)	08/03/16	J	A	
152.					Sold	09/13/16	J	A	
153. ---Brown Adv Japan Alpha (BAFJX)	A	Dividend	J	T	Buy (add'l)	01/26/16	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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VII. INVESTMENTS and TRUSTS -- income, value, transactions (Includes those of spouse and dependent children; see pp. 34-60 of filing instructions.)

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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) Amount Code 1 (A-H)	(2) Type (e.g., div., rent, or int.)	(1) Value Code 2 (J-P)	(2) Value Method Code 3 (Q-W)	(1) Type (e.g., buy, sell, redemption)	(2) Date mm/dd/yy	(3) Value Code 2 (J-P)	(4) Gain Code 1 (A-H)	(5) Identity of buyer/seller (if private transaction)
154.					Sold (part)	12/13/16	J	A	
155. ---Gotham Absolute Return (GARIX)		None			Sold (part)	08/04/16	J	A	
156.					Sold	08/18/16	J	A	
157. ---Gs EAFE REN MAT 2/18/16		None			Sold	02/18/16	J	A	
158. --- Deutsche X-Trackers MSCI EUR (DBEU)		None			Sold	01/26/16	J	A	
159. ---Vanguard FTSE Europe ETF (VGK)	A	Dividend			Sold	08/03/16	J	A	
160. ---Deutsche X-Trackers MSCI Jap (DBJP)		None			Sold	01/25/16	J	A	
161. ---John Hancock II Str Inc I (JIPIX)	A	Dividend	J	T	Sold (part)	02/29/16	K	A	
162.					Buy (add'l)	09/13/16	J		
163. ---AMG Managers Pictet Intl (APCTX)	A	Dividend	J	T	Buy	08/03/16	J		
164. ---iShares Inc MSCI Japan New (EWI)	A	Dividend	J	T	Buy	12/13/16	J		
165. ---Vanguard Intm Trm Inc G Adm (VFIDX)	B	Dividend	K	T	Buy	03/07/16	J		
166.					Buy (add'l)	09/13/16	J		
167. ---Nueberger Berman Hi In B INS (NHLIX)	B	Dividend	K	T	Buy	02/29/16	J		
168.					Buy (add'l)	04/11/16	J		
169. ---iShares JP Morgan EM Bond Fund (EMB)	A	Dividend	J	T	Buy	07/28/16	J		
170. ---iShares Curr Hedged MSCI EAFE (HEFA)	A	Dividend			Buy	01/29/16	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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VII. INVESTMENTS and TRUSTS -- income, value, transactions (Includes those of spouse and dependent children; see pp. 34-60 of filing instructions.)

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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) 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.					Sold	09/16/16	J	A	
172. ---GS Note of Notes EAFE		None			Buy	01/29/16	J		
173.					Sold	07/14/16	J	A	
174. ---Equinox Funds Tr IPM (EQIPX)		None			Buy	02/08/16	J		
175.					Sold	09/13/16	J	A	
176. ---CRM Long/short Opportunities FD (CRHIX)		None			Buy	08/18/16	J		
177.					Sold	09/13/16	J	A	
178. ---AQR Long-Short Equity (QLERX)		None			Buy	08/18/16	J		
179.					Sold	09/13/16	J	A	
180. ---JP Morgan Cash Account (X)	A	Interest	J	T					
181. Trust #8 (H)									
182. --JPMORGAN CASH ACCOUNT	A	Interest	L	T					
183. --SPDR 500 ETF TR (SPY)	D	Dividend	N	T	Buy (add'l)	02/01/16	K		
184.					Buy (add'l)	07/15/16	J		
185.					Buy (add'l)	10/27/16	J		
186. --ISHARES TR RUSSEL MIDCAP INDEX FUND (IWR)	A	Dividend	L	T	Sold (part)	02/01/16	K	A	
187.					Buy (add'l)	10/27/16	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 \$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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VII. INVESTMENTS and TRUSTS -- income, value, transactions (Includes those of spouse and dependent children; see pp. 34-60 of filing instructions.)

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

A. Description of Assets (including trust assets) Place "(X)" after each asset exempt from prior disclosure	B. Income during reporting period		C. Gross value at end of reporting period		D. Transactions during reporting period				
	(1) Amount Code 1 (A-H)	(2) Type (e.g., div., rent, or int.)	(1) Value Code 2 (J-P)	(2) Value Method Code 3 (Q-W)	(1) Type (e.g., buy, sell, redemption)	(2) Date mm/dd/yy	(3) Value Code 2 (J-P)	(4) Gain Code 1 (A-H)	(5) Identity of buyer/seller (if private transaction)
188. --JPMORGAN TR I INTERM TX FREE BD FD INST (FUND 1374)	B	Dividend	L	T	Buy (add'l)	09/13/16	K		
189. --JP MORGAN TR I INTL VALUE FUND (JNUSX)		None			Sold	04/07/16	K	A	
190. --JP MORGAN TR I TAX AWARE EQUITY FD INSTL (JPDEX) (fka SELECT JPESX)	B	Dividend	K	T	Sold (part)	10/27/16	J	B	
191. --MFS INTL VALUE I FUND (MINIX)	A	Dividend	K	T					
192. --PRIMECAP ODYSSEY FUNDS ODYSSEY STK FD (POSKX)	B	Dividend	K	T	Sold (part)	10/27/16	J	A	
193. --HARTFORD CAP APPRE CL I MUTUAL FUND (ITHIX)	A	Dividend	K	T	Sold (part)	10/27/16	J	A	
194. --GATEWAY FD-Y (GTEYX)	A	Dividend			Sold	08/18/16	J	B	
195. --NEUBERGER BERMAN EQUITY --FDS MULCAP OPP INS FUND (NMULX)	B	Dividend	K	T	Sold (part)	10/27/16	J	A	
196. --ISHARES MSCI EAFE INDX FD (EFA)	B	Dividend	L	T	Sold (part)	02/16/16	J	A	
197.					Sold (part)	03/31/16	K	A	
198.					Buy (add'l)	09/16/16	K		
199. --JPM GLOBAL RES ENH INDEX FD- SELECT (JEITX)	B	Dividend	M	T					
200. --EQUINOX FDS TR CB STGY I (EBSIX)		None			Sold (part)	07/15/16	J	A	
201.					Sold	09/13/16	J	A	
202. --GOLDMAN SACHS TR STRG INCM INSTI (GSZIX)	A	Dividend			Sold	09/13/16	K	A	
203. --Brown Adv Japan Alpha (BARJX)		None			Sold	12/22/16	K	A	

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

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	(1) Amount Code 1 (A-H)	(2) Type (e.g., div., rent, or int.)	(1) Value Code 2 (J-P)	(2) Value Method Code 3 (Q-W)	(1) Type (e.g., buy, sell, redemption)	(2) Date mm/dd/yy	(3) Value Code 2 (J-P)	(4) Gain Code 1 (A-H)	(5) Identity of buyer/seller (if private transaction)
204. --Gothan Absolute Return (GARIX)					Sold (part)	07/15/16	J	A	
205.					Sold	08/18/16	J	A	
206. --Vanguard FTSE Europe EFT (VGX)	A	Dividend			Sold	07/15/16	J	A	
207. --GS EAFE Ren Mat 2/18/16		None			Sold	02/18/16	K	A	
208. --ISHA Curr Hedged MSCI EAFE (HEFA)	A	Dividend			Sold	09/16/16	K	A	
209. --Doubleline total Ret Bond-I (DBLTX)	A	Dividend	K	T					
210. --John Hancock II Str Inc-I (JIPLX)	A	Dividend	K	T	Sold (part)	02/19/16	K	A	
211.					Buy (add'l)	09/13/16	K		
212. ---AMG Managers Pictet Intl (ACPTX)	B	Dividend	L	T	Buy	02/16/16	K		
213.					Buy (add'l)	04/07/16	J		
214. ---Dodge & Cox Intl Stock Fd (DODFX)	B	Dividend	L	T	Buy	04/07/16	K		
215.					Buy (add'l)	07/20/16	J		
216. ---iShares Inc MSCI Japan New (EWJ)		None	K	T	Buy	12/22/16	K		
217. ---Vanguard Intm Trm Inv G Adm (VFIDX)	A	Dividend	K	T	Buy	02/22/16	K		
218.					Buy (add'l)	09/13/16	J		
219. ---Nueberger Berman Hi In B-Ins (NHILX)	B	Dividend	K	T	Buy	02/19/16	K		
220.					Buy (add'l)	03/31/16	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 \$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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VII. INVESTMENTS and TRUSTS -- income, value, transactions (Includes those of spouse and dependent children; see pp. 34-60 of filing instructions.)

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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) 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)

221. ---iShares JP Morgan EM Bond Fund (EMB)	A	Dividend	K	T	Buy	07/15/16	K		
222.					Buy (add'l)	07/18/16	J		
223. ---GS Note of Notes EAFE BSKT		None			Buy	01/29/16	K		
224.					Sold	07/14/16	K	A	
225. ---AQR Long-Short Equity (QLERX)		None			Buy	08/18/16	J		
226.					Sold	09/13/16	J	A	
227. ---CRM Long/Short Opportunitieis (CRIHX)		None			Buy	08/18/16	J		
228.					Sold	09/13/16	J	A	
229. ---Equinox Funds Tr (EQIPX)		None			Buy	02/12/16	J		
230.					Sold	09/13/16	J	A	

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

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

Additional Information Concerning Part VII, Investments and Trusts:

Trust #1 is not reported. I did not create the Trust and am not a beneficiary.

██████████ 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 17: Vanguard Total Int'l Fund was erroneously reported as my asset in 2015; it should have been included in the assets that became non-reportable in 2015 because ██████████, who owns the asset, is no longer a dependent. Accordingly, this asset has been designated with a (Y) and not reported for 2016.

Line 146: Capital Private Client SVCS (CNUSX) was erroneously reported as a partial sale on my 2015 report; it should have been a complete sale. The value and gain on the sale were correctly reported.

Line 193: Prime Cap Odyssey Stock Fd (POSKX) was erroneously reported as a complete sale on my 2015 report; it should have been reported as a partial sale. Income was reported correctly in VII.B.; VII.C. should have listed Value Code K; Value Method T.

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Name of Person Reporting

Tharp, John J.

Date of Report

05/14/2017

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
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