

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) WHIPPLE, HAROLD D.	2. Court or Organization Western District of Missouri	3. Date of Report 12/28/2017
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	6. Reporting Period 01/01/2016 to 12/31/2016
	5b. ☒ Amended Report	
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.)

	<u>POSITION</u>	<u>NAME OF ORGANIZATION/ENTITY</u>
1.		
2.		
3.		
4.		
5.		

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

☒ NONE (No reportable agreements.)

	<u>DATE</u>	<u>PARTIES AND TERMS</u>
1.		
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. 2016	Missouri Judges Retirement System - Pension	\$44,464.88
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.	
2.	
3.	
4.	

IV. REIMBURSEMENTS -- *transportation, lodging, food, entertainment.**(Includes those to spouse and dependent children; see pp. 25-27 of filing instructions.)*☒ NONE *(No reportable reimbursements.)*

<u>SOURCE</u>	<u>DATES</u>	<u>LOCATION</u>	<u>PURPOSE</u>	<u>ITEMS PAID OR PROVIDED</u>
1.				
2.				
3.				
4.				
5.				

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V. GIFTS. *(Includes those to spouse and dependent children; see pp. 28-31 of filing instructions.)*NONE *(No reportable gifts.)*SOURCEDESCRIPTIONVALUE

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.)*CREDITORDESCRIPTIONVALUE 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	N	T					
8. Mid-Missouri Bank Account	A	Interest	M	T					
9. Vanguard Developed Markets Index	B	Dividend	K	T					
10. Vanguard Institutional Index	B	Dividend	L	T					
11. Dimensional Fund Advisors Investment Dimensions Group	D	Dividend	N	T	Sold (part)	02/18/16	M		
12. IRA #1	D	Dividend	N	T					
13. -- AIM Invesco European Growth Fund CL A	B	Dividend	K	T					
14. -- AIM Invesco American Franchise CL A	C	Dividend	L	T					
15. --AIM Invesco Moderate Allocation CL A	D	Dividend	M	T					
16. Vanguard Index Funds Grw Idx Signal	A	Dividend	L	T					
17. Central Bank Accounts (now known as First State Community Bank)	A	Interest	L	T					

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

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☐ 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				
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18. Academy Bank	A	Interest	M	T					
19. Federated High-Yield Bond	A	Dividend	K	T	Sold (part)	02/11/16	J		
20. Federated Ultra-Short Bond	A	Dividend	J	T	Buy (add'l)	12/09/16	J		
21.					Buy (add'l)	12/30/16	J		
22. Vanguard Short-Term Inv. Grade	B	Dividend	L	T	Buy (add'l)	01/26/16	K		
23.					Buy (add'l)	02/12/16	K		
24.					Buy (add'l)	03/07/16	J		
25.					Buy (add'l)	10/13/16	J		
26.					Buy (add'l)	11/17/16	J		
27. Vanguard Int-Term Inv. Grade	C	Dividend	K	T	Buy (add'l)	02/12/16	K		
28.					Buy (add'l)	03/07/16	J		
29.					Buy (add'l)	05/20/16	J		
30.					Sold (part)	12/30/16	K		
31. Aberdeen Emerging Mkts		None	J	T	Sold (part)	01/27/16	J		
32. Cohen & Steers Realty	B	Dividend	J	T	Buy (add'l)	01/25/16	J		
33.					Buy (add'l)	10/13/16	J		
34.					Sold (part)	12/30/16	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 \$5,000,000	M = \$100,001 - \$250,000 P2 = \$5,000,001 - \$25,000,000	
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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				
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35. Eaton Vance Floating	B	Dividend	K	T	Sold (part)	02/12/16	K		
36.					Buy (add'l)	11/17/16	J		
37.					Buy (add'l)	12/30/16	J		
38. Federated Strategic (see Note in Part VIII. Additional Information.)	A	Dividend	K	T	Buy	01/28/16	J		
39.					Buy (add'l)	02/18/16	K		
40.					Sold (part)	12/30/16	J		
41. Fidelity Contrafund Inc.	A	Dividend	K	T					
42. Voya Global Real Estate FD CL I	A	Dividend	K	T	Sold (part)	01/25/16	K		
43. MFS Int'l New Discovery	A	Dividend	J	T	Sold (part)	12/30/16	K		
44. Matthews Pacific Tiger Fund	A	Dividend	K	T	Sold (part)	09/09/16	J		
45.					Buy (add'l)	12/30/16	K		
46. Oakmark International		None			Buy (add'l)	02/18/16	J		
47.					Sold	08/05/16	K		
48. PIMCO Real Return	A	Dividend	J	T					
49. PIMCO Total Return	B	Dividend	J	T	Sold (part)	12/30/16	K		
50. Robeco Boston Partners		None	L	T	Buy (add'l)	02/18/16	K		
51. Vanguard Equity Income	B	Dividend	K	T					

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52. Vanguard Total Stock	B	Dividend	L	T	Buy (add'l)	12/30/16	K		
53. Virtus Emerging Mkts	A	Dividend	J	T	Sold (part)	01/28/16	J		
54.					Buy (add'l)	10/13/16	J		
55. AQR Managed Futures Strategy Alternative FD CL I	A	Dividend	K	T	Sold (part)	10/13/16	J		
56.					Sold (part)	12/23/16	J		
57. AQR Multi Strategy Alternative FD I	D	Dividend	J	T	Sold (part)	10/13/16	J		
58.					Sold (part)	12/30/16	K		
59. Goldman Sachs Strategic Income FD CL I	A	Dividend	K	T	Sold (part)	01/26/16	K		
60. MFS Emerging Markets Debt CL I	A	Dividend	J	T	Sold (part)	01/25/16	J		
61. Templeton Global Bond Fund	A	Dividend	K	T	Sold (part)	01/28/16	J		
62. Tortoise/Nuance MLP & Pipeline	A	Dividend	L	T	Sold (part)	01/26/16	K		
63. Fidelity Blue Chip Growth Fund	A	Dividend	J	T	Buy (add'l)	03/07/16	J		
64. iShares Russell Mid-Cap Growth ETF	A	Dividend	J	T	Sold (part)	05/23/16	J		
65. Vanguard Reit Index FD ADM	B	Dividend	J	T	Buy (add'l)	01/25/16	J		
66.					Buy (add'l)	12/30/16	J		
67. Bank Liberty (Bank Account)	A	Interest	L	T					
68. Duluth MN Txbl-Arpt Impt-Ser C DTD	B	Interest	J	T					

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69. Eaton Vance Global Macro Absolute Return Advantage FD CL 1 (x)	A	Dividend	J	T	Sold (part)	10/13/16	J		
70. Harbor Intl FD Inst Shares		None			Sold	02/18/16	J		
71. New York State Urban Dev Corp Revenue Txbt-Ser B DTD	B	Interest	J	T					
72. Principal Midcap Fund Instl CL	A	Dividend	J	T	Buy (add'l)	02/18/16	K		
73. Vanguard Mid Cap Index FD Inst	A	Dividend	J	T	Buy (add'l)	02/18/16	K		
74. Vanguard Small Cap Index FD ADM Shares	A	Dividend	J	T					
75. Central Fund of Canada LTD CL A (x)	A	Dividend	J	T	Buy	10/17/16	J		
76. FDIC Insured Money Market Program (x)	A	Interest	M	T	Buy	10/04/16	L		
77.					Buy (add'l)	11/01/16	J		
78.					Buy (add'l)	12/01/16	M		
79.					Sold (part)	10/20/16	J		
80.					Sold (part)	11/22/16	J		
81.					Sold (part)	12/20/16	K		
82. Federated International Strategic Value Dividend Fund (x)	A	Dividend	K	T	Buy	08/05/16	K		
83.					Buy (add'l)	10/13/16	J		
84.					Sold (part)	11/25/16	K		
85.					Sold (part)	12/30/16	K		

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86. iShares Comex Gold Trust		None	J	T	Buy	10/17/16	J		
87. JP Morgan Core BD FD CL SEL (x)	A	Dividend			Buy	01/28/16	J		
88.					Sold	11/17/16	J		
89. Las Cruces NM ST Shared Gross Receipts Tax Revenue (x)	A	Interest	K	T	Buy	04/05/16	K		
90. Vanguard Inflation Protected Sec FD ADM Shared (x)	A	Dividend	J	T	Buy	11/17/16	J		
91.					Buy (add'l)	12/30/16	J		
92. WCM Focused Intl Growth FD CL I (x)	A	Dividend	K	T	Buy	11/25/16	K		
93. Wisdomtree Midcap Dividend FD(x)	A	Dividend	J	T	Buy	05/23/16	J		
94. Wisdomtree Smallcap Dividend Fund(x)	A	Dividend	J	T	Buy	05/27/16	J		
95. H Dean Whipple IRA(x)	D	Int./Div.	N	T	Distributed (part)	12/06/16	K		

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

Pim.Comm - (#20 of 2015 Report), was referenced Sold (part) on 7/14/15 but should have been referenced Sold and has been removed from Part VII. Investments and Trusts of the 2016 Report.

Central Bank (#23 of 2015 Report) is now known as First State Community Bank (#17 of 2016 Report).

AQR Diversified (#38 of 2015 Report was referenced Sold (part) on 11/02/15 but should have been referenced Sold and has been removed from Part VII. Investments and Trusts of the 2016 Report.

Federated Strategic (#45 of 2015 Report) was sold in 2015 and then repurchased in early 2016 (#38 of 2016 Report).

PIMCO Low Duration (#61 of 2015 Report) was referenced Sold (part) on 11/02/15 but should have been referenced Sold and has been removed from Part VII. Investments and Trusts of the 2016 Report.

H Dean Whipple IRA (#94 of 2016 Report) represents the new entry of the mandatory distribution from a retirement account.

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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
Suite 2-301
One Columbus Circle, N.E.
Washington, D.C. 20544