

FINANCIAL DISCLOSURE REPORT FOR CALENDAR YEAR 2015

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 05/12/2016
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 01/01/2015 to 12/31/2015
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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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.)*

DATE	SOURCE AND TYPE	INCOME (yours, not spouse's)
1. 2015	Missouri Judges Retirement System - Pension	\$44,244.60
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.)*

DATE	SOURCE AND TYPE
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.)*

SOURCE	DATES	LOCATION	PURPOSE	ITEMS 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.		
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. Federated Total Return Bond Fund	A	Dividend			Sold	11/02/15	K		
10. Vanguard Developed Markets Index	B	Dividend	K	T					
11. Vanguard Institutional Index	B	Dividend	L	T					
12. Dimensional Fund Advisors Investment Dimensions Group	E	Dividend	N	T	Buy (add'l)	03/03/15	J		
13.					Buy (add'l)	07/24/15	J		
14.					Buy (add'l)	12/29/15	J		
15.					Sold (part)	12/29/15	J		
16. IRA #1	D	Dividend	N	T					
17. -- AIM Invesco European Growth Fund CL 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	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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18. -- AIM Invesco American Franchise CL A									
19. --AIM Invesco Moderate Allocation CL A									
20. Pim. Comm.	A	Dividend	J	T	Sold (part)	07/14/15	J		
21. Vanguard Inflation Protected	A	Dividend			Sold	11/02/15	L		
22. Vanguard Index Funds Grw Idx Signal	A	Dividend	L	T					
23. Central Bank Accounts	A	Interest	L	T					
24. Academy Bank	A	Interest	M	T					
25. Federated High-Yield Bond	B	Dividend	K	T	Buy (add'l)	03/03/15	J		
26.					Buy (add'l)	11/02/15	J		
27.					Sold (part)	11/02/15	J		
28. Federated Ultra-Short Bond	A	Dividend	J	T	Buy (add'l)	07/24/15	K		
29.					Sold (part)	11/02/15	K		
30. Vanguard Short-Term Inv. Grade	B	Dividend	L	T	Buy (add'l)	01/02/15	J		
31.					Sold (part)	04/09/15	J		
32.					Buy (add'l)	07/24/15	J		
33.					Sold (part)	11/02/15	J		
34.					Buy (add'l)	12/29/15	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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35. Vanguard Int-Term Inv. Grade	A	Dividend	K	T	Buy (add'l)	02/03/15	J		
36.					Sold (part)	11/02/15	K		
37.					Buy (add'l)	12/29/15	L		
38. AQR Diversified		None	K	T	Sold (part)	11/02/15	J		
39. Aberdeen Emerging Mkts	A	Dividend	J	T	Sold (part)	07/24/15	J		
40. Cohen & Steers Realty	A	Dividend	J	T					
41. Eaton Vance Floating	B	Dividend	K	T	Buy (add'l)	03/03/15	J		
42.					Buy (add'l)	07/24/15	J		
43.					Buy (add'l)	07/24/15	J		
44.					Sold (part)	11/02/15	J		
45. Federated Strategic	A	Dividend			Sold	07/24/15	K		
46. Fidelity Contrafund Inc.	B	Dividend	K	T	Sold (part)	02/03/15	J		
47.					Sold (part)	04/09/15	K		
48. Voya Global Real Estate FD CL I	A	Dividend	K	T					
49. Loomis Sayles Global Bond		None			Sold (part)	04/09/15	J		
50.					Sold	11/02/15	J		
51. MFS Int'l New Discovery	A	Dividend	J	T	Buy (add'l)	02/02/15	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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52.					Buy (add'l)	11/02/15	J		
53. Matthews Pacific Tiger Fund	A	Dividend	J	T	Sold (part)	07/24/15	J		
54. Southernsun Small Cap Intl	A	Dividend			Sold	11/02/15	J		
55. Oakmark International	A	Dividend	J	T	Buy (add'l)	04/09/15	J		
56.					Buy (add'l)	07/24/15	J		
57.					Buy (add'l)	12/29/15	J		
58. PIMCO All Asset	B	Dividend			Sold (part)	04/09/15	J		
59.					Sold (part)	07/24/15	J		
60.					Sold	11/02/15	J		
61. PIMCO Low Duration	A	Dividend	K	T	Sold (part)	04/19/15	J		
62.					Sold (part)	11/02/15	J		
63. PIMCO Real Return	A	Dividend	J	T	Buy (add'l)	11/02/15	J		
64. PIMCO Total Return	B	Dividend	J	T	Buy (add'l)	02/03/15	J		
65.					Sold (part)	07/24/15	J		
66.					Buy (add'l)	11/02/15	L		
67.					Sold (part)	11/12/15	K		
68. Robeco Boston Partners	A	Dividend	K	T	Sold (part)	04/19/15	J		

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69.					Buy (add'l)	12/30/15	J		
70. Tortoise Energy Infrastructure	B	Dividend			Sold	12/07/15	K		
71. Vanguard Equity Income	B	Dividend	K	T	Sold (part)	07/24/15	K		
72.					Buy (add'l)	12/29/15	K		
73. Vanguard Total Stock	B	Dividend	L	T	Sold (part)	01/08/15	J		
74.					Buy (add'l)	07/24/15	J		
75.					Buy (add'l)	12/29/15	J		
76. Virtus Emerging Mkts	A	Dividend	J	T	Buy (add'l)	02/03/15	J		
77.					Sold (part)	11/02/15	J		
78. Wasatch Small Cap Growth Fund		None			Sold	11/02/15	J		
79. AQR Managed Futures Strategy Alternative FD CL I	B	Dividend	K	T	Buy (add'l)	01/02/15	J		
80.					Buy (add'l)	07/24/15	J		
81.					Buy (add'l)	11/02/15	J		
82.					Sold (part)	12/11/15	J		
83. AQR Multi Strategy Alternative FD I	C	Dividend	J	T	Buy (add'l)	01/02/15	J		
84.					Buy (add'l)	04/09/15	J		
85.					Buy (add'l)	07/24/15	J		

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86.					Buy (add'l)	11/02/15	K		
87.					Sold (part)	12/11/15	J		
88. Aston Fairpointe Midcap FD CL I		None			Buy (add'l)	01/02/15	J		
89.					Sold (part)	07/24/15	J		
90.					Sold	11/02/15	J		
91. Driehaus Select Credit FD	B	Dividend			Sold	11/02/15	K		
92. Eaton Vance Parametric Commodity		None			Sold	08/07/15	J		
93. Goldman Sachs Mid Cap Value FD		None			Sold	11/02/15	J		
94. Goldman Sachs Strategic Income FD CL I	B	Dividend	K	T	Buy (add'l)	01/02/15	J		
95.					Sold (part)	07/24/15	J		
96.					Buy (add'l)	11/02/15	J		
97.					Sold (part)	11/02/15	J		
98. MFS Emerging Markets Debt CL I	A	Dividend	J	T	Sold (part)	07/24/15	J		
99.					Buy (add'l)	11/02/15	J		
100.					Sold (part)	11/02/15	J		
101. Templeton Global Bond Fund	A	Dividend	K	T	Buy (add'l)	04/09/15	J		
102.					Sold (part)	11/02/15	J		

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103. Tortoise/Nuance MLP & Pipeline	B	Dividend	L	T	Sold (part)	12/11/15	J		
104. Whitebox Tactical Opportunities FD		None			Buy (add'l)	01/02/15	J		
105.					Sold (part)	03/03/15	J		
106.					Sold	08/07/15	J		
107. AllianceBernstein Select US Long Short Port Adv CL	A	Dividend			Sold	12/29/15	J		
108. AMG Southern Small Cap FD CL 1		None			Sold	11/02/15	J		
109. Dodge & Cox Intl Stock FD	A	Dividend			Buy (add'l)	03/03/15	J		
110.					Sold	12/29/15	J		
111. Fidelity Adv New Insights FD INST CL		None			Buy (add'l)	01/02/15	J		
112.					Sold	02/12/15	J		
113. Fidelity Blue Chip Growth Fund	A	Dividend	J	T	Buy (add'l)	01/02/15	J		
114.					Buy (add'l)	12/29/15	J		
115. iShares Russell Mid-Cap Growth ETF	A	Dividend	J	T					
116. Vanguard Reit Index FD ADM	A	Dividend	J	T	Buy (add'l)	12/09/15	J		
117. Bank Liberty (Bank Account) (x)	A	Interest	L	T					
118. AQR Large Cap Momentum Style FD CL 1 (x)	A	Dividend			Buy	02/15/15	J		
119.					Sold	12/29/15	J		

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2. Value Codes (See Columns C1 and D3)	J ~\$15,000 or less N ~\$250,001 - \$500,000 P3 ~\$25,000,001 - \$50,000,000	K ~\$15,001 - \$50,000 O ~\$500,001 - \$1,000,000	L ~\$50,001 - \$100,000 P1 ~\$1,000,001 - \$5,000,000 P4 ~More than \$50,000,000	M ~\$100,001 - \$250,000 P2 ~\$5,000,001 - \$25,000,000	
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)
120. AQR Small Cap Momentum Style FD CL 1 (x)		None			Buy	02/15/15	J		
121.					Buy (add'l)	04/09/15	J		
122.					Sold	11/02/15	J		
123. Dreyfus Intl Bond FD CL Y (x)	A	Dividend			Buy	04/09/15	J		
124.					Sold	12/29/15	J		
125. Duluth MN Txbl-Arpt Impt-Ser C DTD (x)	A	Interest	J	T	Buy	11/23/15	K		
126. Eaton Vance Global Macro Absolute Return Advantage FD CL 1 (x)	B	Dividend	J	T	Buy	03/03/15	K		
127.					Buy (add'l)	07/24/15	J		
128.					Buy (add'l)	11/02/15	J		
129.					Sold (part)	12/31/15	J		
130. Eaton Vance Global Macro Absolute Return FD CL 1 (x)	A	Dividend			Buy	02/03/15	J		
131.					Sold	11/02/15	J		
132. Fidelity Low Priced Stock FD (x)	A	Dividend			Buy	07/24/15	J		
133.					Sold	11/02/15	J		
134. Harbor Intl FD Inst Shares (x)	A	Dividend	J	T	Buy	02/03/15	J		
135.					Buy (add'l)	04/09/15	J		
136.					Buy (add'l)	07/24/15	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.

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.					Sold (part)	11/02/15	J		
138.					Sold (part)	12/31/15	J		
139. Harding Loevner Intl Equity Port Instl Shares (x)		None			Buy	02/12/15	J		
140.					Buy (add'l)	07/24/15	J		
141.					Sold	11/02/15	J		
142. Legg Mason Clearbridge Aggressive Growth FD CL 1 (x)		None			Buy	02/02/15	J		
143.					Buy (add'l)	07/24/15	J		
144.					Sold	11/02/15	J		
145. New York State Urban Dev Corp Revenue Txbt-Ser B DTD (x)	A	Interest	J	T	Buy	11/17/15	L		
146. Principal Midcap Fund Instl CL (x)	A	Dividend	J	T	Buy	11/02/15	J		
147.					Buy (add'l)	12/29/15	J		
148. Vanguard Mid Cap Index FD Inst (x)	A	Dividend	J	T	Buy	11/02/15	J		
149.					Buy (add'l)	12/29/15	J		
150. Vanguard Small Cap Index FD ADM Shares (x)	A	Dividend	J	T	Buy	11/02/15	J		
151.					Buy (add'l)	12/29/15	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.

Date of Report

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

Pim.Comm - (#20 of 2014 Report and #20 of 2015 Report), was referenced Sold on 2/28/14 but should have been referenced Sold (part).

Bank of Liberty (#90 of 2014 Report) should have been titled Bank Liberty and marked with an "x" (now #119 of 2015 Report).

On 10/20/14 Vanguard Reit Index FD Signal Shrs, #89 in 2014 report , was converted to Vanguard Reit Index FD ADM (#116 of 2015 Report).

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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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Washington, D.C. 20544