

FINANCIAL DISCLOSURE REPORT FOR CALENDAR YEAR 2011

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 "DEAN" D.	2. Court or Organization Western District of Missouri	3. Date of Report 05/11/2012
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 01/01/2011 to 12/31/2011
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. Insert signature on last page.		

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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WHIPPLE, HAROLD "DEAN" 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. 2011	Missouri Judges Retirement System - Pension	\$39,585.24
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. 2011	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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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 "DEAN" 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	B	Interest	K	T					
7. Bank of America Accounts	A	Interest	M	T					
8. Corn Prod. Int'l. com. stock		None			Sold	05/25/11	J	D	
9. Mid-Missouri Bank Account	A	Interest	M	T					
10. Federated Total Return Bond Fund	C	Dividend	L	T	Buy (add'l)	05/26/11	J		
11.					Buy (add'l)	12/06/11	J		
12. Pimco Foreign Bond Fund	B	Dividend	L	T	Buy (add'l)	05/26/11	J		
13.					Buy (add'l)	12/06/11	J		
14. Vanguard GNMA Fund	B	Dividend	K	T	Buy (add'l)	05/26/11	J		
15. Vanguard Developed Markets Index	C	Dividend	L	T	Sold (part)	05/26/11	J		
16.					Buy (add'l)	10/19/11	J		
17.					Buy (add'l)	10/20/11	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 "DEAN" D.

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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)
18.					Buy (add'l)	12/06/11	K		
19.					Sold (part)	12/06/11	K		
20. Vanguard Institutional Index	B	Dividend	L	T	Buy (add'l)	12/06/11	J		
21. Dimensional Fund Advisors Investment Dimensions Group	D	Dividend	N	T	Sold (part)	05/26/11	J		
22.					Buy (add'l)	10/19/11	J		
23.					Sold (part)	10/19/11	J		
24.					Buy (add'l)	10/20/11	J		
25.					Buy (add'l)	12/06/11	J		
26. IRA #1	A	Dividend	K	T					
27. -- AIM Int'l. Mutual Fund									
28. -- AIM Equity Funds CLA									
29. AIM Growth SER	C	Dividend	M	T					
30. Pim. Comm.	D	Dividend	K	T	Buy (add'l)	12/06/11	J		
31. Northern Fund Global	A	Dividend	K	T	Sold (part)	05/26/11	J		
32.					Buy (add'l)	10/19/11	J		
33.					Buy (add'l)	10/20/11	J		
34.					Buy (add'l)	12/06/11	J		

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35. Vanguard Inflation Protected	C	Dividend	M	T	Buy (add'l)	05/26/11	J		
36.					Sold (part)	10/19/11	J		
37.					Sold (part)	10/20/11	J		
38.					Buy (add'l)	12/06/11	J		
39. Vanguard Index Funds Grw Idx Signal	A	Dividend	L	T	Sold (part)	10/19/11	J		
40.					Buy (add'l)	12/06/11	J		
41. Central Bank Accounts	A	Interest	L	T					
42. Academy Bank (formerly Bank Midwest)	B	Interest	M	T					
43. Federated High-Yield Bond	B	Dividend	K	T	Buy (add'l)	05/26/11	J		
44.					Buy (add'l)	10/19/11	J		
45.					Buy (add'l)	12/06/11	J		
46. Federated Ultra-Short Bond	A	Dividend	J	T	Buy (add'l)	12/06/11	J		
47. Vanguard Short-Term Inv. Grade	B	Dividend	L	T	Buy (add'l)	05/26/11	J		
48.					Buy (add'l)	12/06/11	J		
49. Vanguard Int-Term Inv. Grade	B	Dividend	K	T	Buy (add'l)	05/26/11	J		
50.					Sold (part)	10/20/11	J		
51.					Buy (add'l)	12/06/11	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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VIII. ADDITIONAL INFORMATION OR EXPLANATIONS. *(Indicate part 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 "DEAN" 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