

FINANCIAL DISCLOSURE REPORT FOR CALENDAR YEAR 2017

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 05/15/2018
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 01/01/2017 to 12/31/2017
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) |
| 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.)*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. 2017

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	K
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					
2. Chemours (X)	A	Dividend			Donated				
3. DowDuPont (common stock)	A	Dividend	L	T					
4. General Electric (common stock)	A	Dividend	K	T					
5. IBM (common stock)	D	Dividend	M	T	Donated (part)				
6. JP Morgan Chase Bank Accounts	A	Interest	L	T					
7. Merrill Lynch Bank Deposit Program	A	Interest	J	T					
8. Northwestern Mutual Insurance Policies (Whole Life)	D	Dividend	M	T					
9. Pfizer (common stock)	C	Dividend	M	T					
10. United Pacific Life Ins. (Universal Life; no control) (nka Genworth)	D	Dividend	N	T					
11. U.S. Savings Bonds		None	K	T					
12. Vanguard Dividend Growth Fund	C	Dividend	L	T					
13. Vanguard Energy Fund	A	Dividend	K	T					
14. Vanguard Federal Money Market Fund (X)	A	Int./Div.	J	T					
15. Vanguard Information Tech ETF	B	Dividend	M	T					
16. Vanguard Mid-Cap ETF	B	Dividend	K	T					
17. Vanguard Tax Exempt Money Market Fund (X)	A	Int./Div.	K	T					

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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18. Vanguard Long-Term Tax Exempt Bond Fund	B	Dividend	K	T					
19. Vanguard S&P 500 Index Fund	B	Dividend	L	T					
20. IRA #1 (H)									
21. --Vanguard Total International Stock Index Fund	B	Dividend	L	T					
22. --Vanguard Total Stock Market Index Fund	B	Dividend	M	T					
23. --Vanguard Total Bond Market Index Fund	A	Dividend	K	T					
24. IRA #2 (H)									
25. --Vanguard Total International Stock Index Fund	A	Dividend	J	T					
26. --Vanguard Total Stock Market Index Fund	A	Dividend	K	T					
27. --Vanguard Total Bond Market Index Fund	A	Dividend	J	T					
28. IRA #3 (H)									
29. --Fidelity Magellan Fund	E	Dividend	N	T					
30. IRA #4 (H)									
31. --Vanguard 500 Index Fund	A	Dividend	L	T					
32. IRA #5 (H)									
33. --CIVIX - MFO Causeway Cap Mgmt Tr Intl Value FD Instl Cl	C	Dividend	M	T	Buy (add'l)	12/15/17	J		
34. --DFCEX - MFO DFA Invt. Dimensions Group Inc Emerging Mkts	B	Dividend	M	T	Buy (add'l)	12/15/17	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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35. --DFEVX - MFO DFA Emerging Markets Value	C	Dividend	M	T	Buy (add'l)	12/15/17	J		
36. --DFITX - MFO DFA Invt Dimensions Group Inc Intl Real Estate	B	Dividend	L	T					
37. --DFREX - MFO DFA Invt Dimensions Group Inc. Real Estate	B	Dividend	L	T					
38. --GUNR - MFC Flexshares TR Morningstar Global Upstream NRIF	B	Dividend	L	T					
39. --HLMIX - MFO Harding Loevner FDS Inc. Intl Equity Portfolio	B	Dividend	N	T	Buy (add'l)	12/15/17	J		
40. --NMFIX MFB Northern Multimanager	C	Dividend	L	T					
41. --NOMIX - MFB Northern Mid Cap Index Fund	B	Dividend	M	T					
42. --NORXX - MFB Northern Funds Money Market Fund (Y)									
43. --NOSIX - MFB Northern Funds Stock Index Fund	D	Dividend	O	T					
44. --NSIDX - MFB Northern Funds Small Cap Index Fund	B	Dividend	M	T					
45. --PHIYX - MFO Pimco Funds Pac Invt Mgmt Ser HY Instl CL	D	Dividend			Sold	12/14/17	M	A	
46. --TDTF - MFC Flexshares Tr IBOX 5 Yr Tgt Duration TIPS Indx	A	Dividend			Sold	12/14/17	K	A	
47. QDF MFC Flexshares Trust Quality	D	Dividend	N	T					
48. NHFIX MFB Northern High Yield Fixed Income	A	Dividend	K	T	Buy	12/15/17	K		
49. BHYIX Black Rock Federal High Yield Bond	A	Int./Div.	M	T	Buy	12/15/17	M		
50. NOGXX Northern US Govt Money Market	A	Int./Div.	L	T					
51. IRA #6 (H)									

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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 \$5,000,000	M = \$100,001 - \$250,000 P2 = \$5,000,001 - \$25,000,000	
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52. --Fidelity Blue Chip Growth	C	Dividend	L	T					
53. --Fidelity Independence	E	Dividend	N	T					
54. IRA #7 (H)									
55. --Fidelity Independence	C	Dividend	K	T					
56. Trust #1 (H)									
57. Trust #2 (H)									
58. --Allstate (common)	A	Dividend	L	T					
59. --American Electric Power (common)	A	Dividend	K	T					
60. --Anadarko Petroleum (common)	A	Dividend	K	T					
61. --AT&T (common)	C	Dividend	L	T					
62. --Blackrock Global Allocation C	A	Dividend	J	T					
63. --BP Amoco (ADR)	A	Dividend	J	T					
64. --Chemours	A	Dividend	J	T					
65. --Conoco Phillips (common)	A	Dividend	K	T					
66. --DowDuPont (common)	B	Dividend	K	T					
67. --Duke Energy (common)	A	Dividend	J	T					
68. --Exxon (common)	B	Dividend	L	T					

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69. --Fortune Brands Home & Security (common)	A	Dividend	K	T					
70. --Hershey (common)	B	Dividend	L	T					
71. --ISHARES Russell Mid Cap ETF	A	Dividend	K	T					
72. --ISHARES S&P Growth ETF (IVW)	A	Dividend	J	T					
73. --Ivy Asset Strategy	B	Dividend	L	T					
74. --JP Morgan Chase Cash Accounts	A	Dividend	K	T					
75. --JP Morgan Tr I US Small Co. Cl C	A	Dividend	J	T					
76. --JP Morgan Tr II Large Cap Growth (formerly JP Morgan Dynamic Growth)	C	Dividend	K	T					
77. --Lincoln National Group (common)	A	Dividend	K	T					
78. --Merck (common)	A	Dividend	K	T					
79. --Monsanto (common)	A	Dividend	K	T					
80. --Pfizer (common)	A	Dividend	J	T					
81. --Phillips 66 (common)	A	Dividend	K	T					
82. --Sterling Cap FDS Mid Value FD (OVECX)	B	Dividend	K	T					
83. --Walgreen's Boots Alliance (common)	C	Dividend	M	T					
84. --Enbridge Inc. (common) (formerly Spectra Energy)	A	Dividend	J	T					
85. Trust #3 (H)									

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

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

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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. ---MFR Northern Fds Cash Accounts	A	Dividend	J	T					
121. ---BHYIX Blackrock Fed High Yield Bond Portfolio	A	Dividend	J	T					
122. QDF MFC Flexshares Trust Quality Div	A	Dividend	J	T					
123. MFB Northern US Govt Money Mkt Fund (Cash Account)	A	Int./Div.	J	T					
124. Trust #6 (H)									
125. --Farm land, Christian County, Illinois	C	Distribution	M	W					
126. --JP Morgan Chase Cash Account	A	Distribution	J	T					
127. Trust #7 (H)									
128. --iShares Russell MidCap Index Fund (IWR)	A	Dividend			Sold (part)	05/09/17	J	A	
129.					Sold	06/26/17	J	D	
130. --iShares MSCI EAFE Index Fund (EFA)	B	Dividend	L	T	Buy (add'l)	05/09/17	J		
131.					Buy (add'l)	05/09/17	J		
132. JPM Tax Free Bond Fd #1374, NKA JPM Interim Tax Free Bond Fd	B	Dividend	L	T	Buy (add'l)	04/05/17	K		
133. --Condominium Unit (real estate), Sarasota County, Florida	B	Rent	M	W					
134. --Hart. Cap. Appr. Fd (ITHIX), NKA Hart.Cap.Appr.-F (HCAFX)	C	Dividend	K	T					
135. --JPM Cap Core Plus (JLPX) NKA JPM L/ Cap Core -R6 (JLPYX)	C	Dividend	K	T					
136. --Neuberger Berman Multi Cap Opportunities Fd (NMULX)	C	Dividend	K	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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Name of Person Reporting

Tharp, John J.

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05/15/2018

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. --Spdr S&P 500 ETF Trust (SPY)	C	Dividend	M	T	Buy (add'l)	06/28/17	J		
138. --MFS Intl Value Fd-I (MINIX) NKA MFS Intl Value -R6 (MINJX)	B	Dividend	K	T					
139. --Capital Private Client SVCS Cap Non-US Equities (CNUSX)	A	Dividend	K	T					
140. --JPM Gbl R/E Fund (JEITX) NKA JPM Global R/E Fd (JEIYX)	B	Dividend	L	T					
141. --JP Morgan Tax Free Instl Sweep Fund (#840)	A	Interest	K	T					
142. --Met West T/R CL I (MWTIX) NKA Met West T/R BD-PLN	A	Dividend	J	T					
143. ---Brown Adv Japan Alpha (BAFJX)	A	Dividend			Sold	01/27/17	J	A	
144. ---John Hancock Str Inc I (JPIIX) NKA JH II Str, Inc. Op R6	A	Dividend	J	T					
145. ---AMG Mgr Pictet Intl (APCTX) NKA AMG Mgr Pic Intl (APCZX)	A	Dividend	K	T					
146. ---Ishares Inc MSCI Japan New (EWI)	A	Dividend	J	T	Buy (add'l)	01/25/17	J		
147.					Sold (part)	05/09/17	J	A	
148. ---Vanguard Intm Trm Inc G Adm (VFIDX)	A	Dividend			Sold	04/06/17	K	A	
149. ---NB Hi In B INS (NHLIX) NKA NB High Inc Bond R6 (NRHIX)	A	Dividend	K	T	Sold (part)	06/29/17	J	A	
150. ---iShares JP Morgan EM Bond Fund (EMB)	A	Dividend	J	T	Sold (part)	07/03/17	J	A	
151. ---JP Morgan Cash Account	A	Interest	J	T					
152. ---Dodge & Cox Income Fd (DODIX)	A	Dividend	J	T	Buy	11/17/17	J		
153. ---Ishares Core MSCI EAFE ETF (IEFA)	A	Dividend	K	T	Buy	06/28/17	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	
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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)
154.					Buy (add'l)	06/28/17	J		
155.					Buy (add'l)	06/29/17	J		
156. Trust #8 (H)									
157. --JPMORGAN CASH ACCOUNT	A	Interest	L	T					
158. --SPDR 500 ETF TR (SPY)	D	Dividend	N	T	Buy (add'l)	06/29/17	K		
159. --ISHARES TR RUSSEL MIDCAP INDEX FUND (IWR)	A	Dividend			Sold (part)	05/08/17	J	B	
160.					Sold	06/29/17	L	E	
161. --JPM TX FREE (FUND 1374) NKA JPM Interim T/F R6 (JITZX)	B	Dividend	L	T					
162. --JP MORGAN TR I TAX AWARE EQUITY FD INSTL (JPDEX) (fka SELECT JPESX)	C	Dividend	K	T					
163. --MFS Intl Val Fd (MINIX) KNA MFS Intl Val Fd R6 (MINJX)	A	Dividend	K	T					
164. --PRIMECAP ODYSSEY FUNDS ODYSSEY STK FD (POSKX)	A	Dividend	K	T					
165. --Hartf.Cap. Appr. I (TTHX) KNA Har.Cap.Appr. F (HCAFX)	C	Dividend	K	T					
166. --NB EQUITY --FDS MULCAP OPP INS FUND (NMULX)	D	Dividend	L	T					
167. --ISHARES MSCI EAFE INDX FD (EFA)	C	Dividend	M	T	Buy (add'l)	05/08/17	J		
168. --JPM Glob R/E Idx Fd (JEITX) NKA JPM Glob R/E R6 (JEIYX)	C	Dividend	M	T					
169. --Doubleline Total Ret Bond-I (DBLTX)	A	Dividend	K	T	Buy (add'l)	04/07/17	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)
170. --JH II Str Inc-1 (JIPIX) NKA JH II Str Inc Opp R6	A	Dividend	K	T					
171. ---AMG Mgr PicIntl (ACPTX) NKA AMG Mgr Pic Int Z (APCZX)	C	Dividend	L	T					
172. ---Dodge & Cox Intl Stock Fd (DODFX)	B	Dividend	L	T					
173. ---iShares Inc MSCI Japan New (EWJ)	A	Dividend	J	T	Sold (part)	05/08/17	J	A	
174. ---Vanguard Intm Trm Inv G Adm (VFIDX)	A	Dividend			Sold	04/19/17	K	A	
175. ---NB Hi In B-Ins (NHILX) NKA NB Hi Inc. Bond R6 (NRHIX)	B	Dividend	K	T	Sold (part)	06/29/17	K	B	
176. ---iShares JP Morgan EM Bond Fund (EMB)	A	Dividend	J	T	Sold (part)	06/29/17	J	B	
177. ---iShares Core MSCI EAFE ETF (IEFA)	A	Dividend	L	T	Buy	06/29/17	L		
178. ---Dodge & Cox Income Fd (DODIX)	A	Dividend	J	T	Buy	11/17/17	J		
179. ---JPM Shrt-Int Muni Bnd - I (JIMIX)	A	Dividend	K	T	Buy	04/07/17	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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VIII. ADDITIONAL INFORMATION OR EXPLANATIONS. *(Indicate part of report.)*

Additional Information Concerning Part VII, Investments and Trusts:

██████████ 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 3: Dow Chemical merged with DuPont on 8/31/17 to form DowDuPont.

Line 42: Cash was transferred from NORXX MFB Northern Money Market Fund to NOGXX Northern US Govt. Money Market Fund. Value is reported on Line 50.

Line 56: Trust #1 has no reportable assets. I did not create the Trust and am not a beneficiary.

Line 65: Dow Chemical merged with DuPont on 8/31/17 to form DowDuPont. Dow and DuPont were previously reported assets of this Trust (#2); combined income and value is reported on Line 65.

Line 75: JP Morgan Tr I Dynamic Growth merged into JP Morgan Tr II Large Cap Growth.

Line 83: Enbridge Inc. acquired Spectra Energy on 2/27/17.

Line 88: Dow Chemical merged with DuPont on 8/31/17 to form DowDuPont.

Line 132: JP Morgan Tax Free Bond Fund #1374) was converted to shares of JP Morgan Interim Tax Free Bond Fund R6.

Line 133: Reported figure is gross rental income.

Lines 134 and 165: Hartford Capital Appreciation (THIX) was converted to Hartford Mut Fds Inc. Cap Appreciation -F (HCAFX).

Line 135: JP Morgan Cap Core plus (JILPSX) was converted to shares of JP Morgan US L/C Core PL - R6 (JLPY X).

Lines 138 and 163: MFS Intl Value Fund (MINIX) was converted to shares of MFS Intl Value - R6 (MINJX).

Lines 140 and 168: JP Morgan Global Res Enh Index Fund (JEITX) was converted to JP Morgan Global Res Enh Index (JEIYX).

Line 142: Metropolitan West funds (MWTIX) was converted to Metropolitan West T/R BD-PLN.

Lines 144 and 170: John Hancock Strategic Income Fund (JIPIX) was converted to shares of JH II Strategic Inc Opportunity R6.

Lines 145 and 171: AMG Managers Pictet Intl (APCTX) was converted to shares of AMG Managers Pictet Intl (APCZX).

Line 149 and 175: Neuberger Berman High Income B INS (NHLIX) was converted to shares of NB High Income Bond - R6 (NRHIX).

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Tharp, John J.

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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/ **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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Washington, D.C. 20544