

**FINANCIAL DISCLOSURE REPORT  
FOR CALENDAR YEAR 2006**

*Report Required by the Ethics  
in Government Act of 1978  
(5 U.S.C. app. §§ 101-111)*

|   |   |  |
|---|---|--|
| <b>1. Person Reporting (last name, first, middle initial)</b><br><br>WHIPPLE, HAROLD "DEAN" D   | <b>2. Court or Organization</b><br><br>Western District of Missouri   | <b>3. Date of Report</b><br><br>04/10/2007                       |
| <b>4. Title (Article III judges indicate active or senior status; magistrate judges indicate full- or part-time)</b><br><br>U. S. DISTRICT JUDGE (Active) | <b>5a. Report Type (check appropriate type)</b><br><input type="checkbox"/> Nomination,                      Date<br><input type="checkbox"/> Initial <input checked="" type="checkbox"/> Annual <input type="checkbox"/> Final<br><br><b>5b.</b> <input type="checkbox"/> Amended Report | <b>6. Reporting Period</b><br><br>01/01/2006<br>to<br>12/31/2006 |
| <b>7. Chambers or Office Address</b><br><br>8462 Chas. Evans Whittaker Crt<br>400 East 9th Street<br>Kansas City, MO 64106                                | <b>8. On the basis of the information contained in this Report and any modifications pertaining thereto, it is, in my opinion, in compliance with applicable laws and regulations.</b><br><br>Reviewing Officer _____ Date _____  |  |

**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. Sign on last page.*

**I. POSITIONS.** *(Reporting individual only; see pp. 9-13 of instructions.)*

NONE *(No reportable positions.)*

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

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 FINANCIAL DISCLOSURE OFFICE

**II. AGREEMENTS.** *(Reporting individual only; see pp. 14-16 of 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 "DEAN" D

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**III. NON-INVESTMENT INCOME.** *(Reporting individual and spouse; see pp. 17-24 of instructions.)*

**A. Filer's Non-Investment Income**

NONE *(No reportable non-investment income.)*

| <u>DATE</u> | <u>SOURCE AND TYPE</u>                      | <u>INCOME</u><br><i>(yours, not spouse's)</i> |
|-------------|---|---|
| 1. 2006     | Missouri Judges Retirement System - Pension | \$ 43,422.00                                  |
| 2.          |   |   |
| 3.          |   |   |
| 4.          |   |   |
| 5.          |   |   |

**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. 2006     | Administrative Office - U.S. Courts - Administrative Assistant |
| 2.          |  |
| 3.          |  |
| 4.          |  |
| 5.          |  |

**IV. REIMBURSEMENTS** -- *transportation, lodging, food, entertainment.*

*(Includes those to spouse and dependent children. See pp. 25-27 of instructions.)*

NONE *(No reportable reimbursements.)*

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

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|---|-------------------------------------|
| <b>Name of Person Reporting</b><br>WHIPPLE, HAROLD "DEAN" D | <b>Date of Report</b><br>04/10/2007 |
|---|-------------------------------------|

**V. GIFTS.** *(Includes those to spouse and dependent children. See pp. 28-31 of 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 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

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## VII. INVESTMENTS and TRUSTS – income, value, transactions (Includes those of the spouse and dependent children. See pp. 34-60 of filing instructions.)

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

| A.<br>Description of Assets<br>(including trust assets)<br><br>Place "(X)" after each asset<br>exempt from prior disclosure | B.<br>Income during<br>reporting period |  | C.<br>Gross value at end of<br>reporting period |   | D.<br>Transactions during reporting period     |                               |                                 |                                |   |
|---|---|--|---|---|--|-------------------------------|---------------------------------|--------------------------------|---|
|   | (1)<br>Amount<br>Code 1<br>(A-H)        | (2)<br>Type (e.g.<br>div., rent,<br>or int.) | (1)<br>Value<br>Code 2<br>(J-P)                 | (2)<br>Value<br>Method<br>Code 3<br>(Q-W) | (1)<br>Type (e.g.<br>buy, sell,<br>redemption) | (2)<br>Date<br>Month -<br>Day | (3)<br>Value<br>Code 2<br>(J-P) | (4)<br>Gain<br>Code 1<br>(A-H) | (5)<br>Identity of<br>buyer/seller<br>(if private<br>transaction) |
| 1. Mass.Cap.Dev.Fnd.(com.stock)   | A                                       | Interest                                     |   |   | Sell   | 04-10                         | J                               | A                              |   |
| 2. U.S. Bank (formerly Merc.Bank) (IRA's)<br>cash equivalent  | C                                       | Interest                                     | K   | T   |  |                               |                                 |                                |   |
| 3. Woodlands, Dallas Co., MO  |   | None   | L   | W   |  |                               |                                 |                                |   |
| 4. Woodlands, Dallas Co., MO  |   | None   | K   | W   |  |                               |                                 |                                |   |
| 5. Office Bldg., Lebanon, MO  |   | None   | K   | W   |  |                               |                                 |                                |   |
| 6. 1/2 Owner woodlands, Laclede Co., MO   |   | None   | J   | W   |  |                               |                                 |                                |   |
| 7. 1/3 Owner woodlands, Lebanon, MO   |   | None   | K   | W   |  |                               |                                 |                                |   |
| 8. GMAC   | D                                       | Interest                                     | M   | T   |  |                               |                                 |                                |   |
| 9. Bank of America Accounts   | D                                       | Interest                                     | M   | T   |  |                               |                                 |                                |   |
| 10. Hickory Co. MO (Weaubleau) School Dist.<br>R-III Mun. Bonds   | C                                       | Interest                                     | K   | T   |  |                               |                                 |                                |   |
| 11. Hickory Co. MO (Skyline) R-1 School Dist.<br>Mun. Bonds   | B                                       | Interest                                     | K   | T   |  |                               |                                 |                                |   |
| 12. Corn Prod. Int'l. com. stock  | A                                       | Dividend                                     | J   | T   |  |                               |                                 |                                |   |
| 13. Nationwide Fixed Annuity  | A                                       | Interest                                     |   |   | Sell   | 04-10                         | J                               | D                              |   |
| 14. Vail Resort, Inc. (common)  |   | None   | J   | T   |  |                               |                                 |                                |   |
| 15. Mid-Missouri Bank Account   | C                                       | Interest                                     | M   | T   |  |                               |                                 |                                |   |
| 16. Cisco Systems, Inc. (common)  |   | None   | J   | T   |  |                               |                                 |                                |   |
| 17. Cyberonics, Inc. (common)   |   | None   |   |   | Sell   | 01-27                         |                                 |                                |   |

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

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|---|------------------------------|
| Name of Person Reporting<br><b>WHIPPLE, HAROLD "DEAN" D</b> | Date of Report<br>04/10/2007 |
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**VII. INVESTMENTS and TRUSTS** – income, value, transactions (Includes those of the spouse and dependent children. See pp. 34-60 of filing instructions.)

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| A.<br>Description of Assets<br>(including trust assets)<br><br>Place "(X)" after each asset<br>exempt from prior disclosure | B.<br>Income during<br>reporting period |  | C.<br>Gross value at end of<br>reporting period |   | D.<br>Transactions during reporting period     |                               |                                 |                                |   |
|---|---|--|---|---|--|-------------------------------|---------------------------------|--------------------------------|---|
|   | (1)<br>Amount<br>Code 1<br>(A-H)        | (2)<br>Type (e.g.<br>div., rent,<br>or int.) | (1)<br>Value<br>Code 2<br>(J-P)                 | (2)<br>Value<br>Method<br>Code 3<br>(Q-W) | (1)<br>Type (e.g.<br>buy, sell,<br>redemption) | (2)<br>Date<br>Month -<br>Day | (3)<br>Value<br>Code 2<br>(J-P) | (4)<br>Gain<br>Code 1<br>(A-H) | (5)<br>Identity of<br>buyer/seller<br>(if private<br>transaction) |
| 18. Pepsico, Inc. (common)  | A                                       | Dividend                                     | L   | T   |  |                               |                                 |                                |   |
| 19. Putnam Investors Fund   | A                                       | Interest                                     |   |   | Sell   | 04-10                         | J                               | C                              |   |
| 20. Fed Nat'l. Mtg. Assn note   | A                                       | Interest                                     | J   | T   |  |                               |                                 |                                |   |
| 21. Federated Total Return Bond Fund  | A                                       | Interest                                     | J   | T   |  |                               |                                 |                                |   |
| 22. Federated Ultra Short Bond Fund   | A                                       | Interest                                     | K   | T   |  |                               |                                 |                                |   |
| 23. Pimco Foreign Bond Fund   | A                                       | Interest                                     | K   | T   |  |                               |                                 |                                |   |
| 24. Vanguard GNMA Fund  | A                                       | Interest                                     | K   | T   |  |                               |                                 |                                |   |
| 25. Vanguard Developed Markets Index  | A                                       | Dividend                                     | K   | T   |  |                               |                                 |                                |   |
| 26. Vanguard Institutional Index  | A                                       | Dividend                                     | L   | T   |  |                               |                                 |                                |   |
| 27. Goldman Sachs Financial Square Money<br>Market Fund   | A                                       | Interest                                     | J   | T   |  |                               |                                 |                                |   |
| 28. Dimensional Fund Advisors Investment<br>Dimensions Group  | B                                       | Dividend                                     | N   | T   |  |                               |                                 |                                |   |
| 29. IRA #1  | D                                       | Interest                                     | M   | T   |  |                               |                                 |                                |   |
| 30. -- AIM Int'l. Mutual Fund   |   |  |   |   |  |                               |                                 |                                |   |
| 31. -- AIM Equity Funds CLA   |   |  |   |   |  |                               |                                 |                                |   |
| 32. -- U.S. Treas. Sec. Stripped  |   |  |   |   |  |                               |                                 |                                |   |
| 33. Harley Davidson, Inc.   | A                                       | Dividend                                     | J   | T   |  |                               |                                 |                                |   |

|  |   |  |  |  |                         |
|--|---|--|--|--|-------------------------|
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| 3. Value Method Codes<br>(See Column C2)         | P3 = \$25,000,001 - \$50,000,000<br>Q = Appraisal<br>U = Book Value | R = Cost (Real Estate Only)<br>V = Other               | P4 = More than \$50,000,000<br>S = Assessment<br>W = Estimated | T = Cash Market  |                         |

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

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|--|------------------------------|
| Name of Person Reporting<br>WHIPPLE, HAROLD "DEAN" D | Date of Report<br>04/10/2007 |
|--|------------------------------|

**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  Date 4-10-07

NOTE: ANY INDIVIDUAL WHO KNOWINGLY AND WILFULLY FALSIFIES OR FAILS TO FILE THIS REPORT MAY BE SUBJECT TO CIVIL AND CRIMINAL SANCTIONS (5 U.S.C. app. § 104)

**FILING INSTRUCTIONS**

Mail signed original and 3 additional copies to:

Committee on Financial Disclosure  
Administrative Office of the United States Courts  
Suite 2-301  
One Columbus Circle, N.E.  
Washington, D.C. 20544