

**FINANCIAL DISCLOSURE REPORT  
FOR CALENDAR YEAR 2011**

*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> WHIPPLE, HAROLD "DEAN" D.	<b>2. Court or Organization</b> Western District of Missouri	<b>3. Date of Report</b> 05/11/2012
<b>4. Title (Article III judges indicate active or senior status; magistrate judges indicate full- or part-time)</b> U. S. DISTRICT JUDGE (Senior Status)	<b>5a. Report Type (check appropriate type)</b> <input type="checkbox"/> Nomination                      Date <input type="checkbox"/> Initial <input checked="" type="checkbox"/> Annual <input type="checkbox"/> Final <b>5b.</b> <input type="checkbox"/> Amended Report	<b>6. Reporting Period</b> 01/01/2011 to 12/31/2011
<b>7. Chambers or Office Address</b> 8462 Chas. Evans Whittaker Crt 400 East 9th Street Kansas City, MO 64106		
<p align="center"><b>IMPORTANT NOTES:</b> <i>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></p>		

**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. _____	_____

**FINANCIAL DISCLOSURE REPORT**

Page 2 of 8

Name of Person Reporting <b>WHIPPLE, HAROLD "DEAN" D.</b>	Date of Report 05/11/2012
--------------------------------------------------------------	------------------------------

**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.				

**FINANCIAL DISCLOSURE REPORT**

Page 3 of 8

Name of Person Reporting <b>WHIPPLE, HAROLD "DEAN" D.</b>	Date of Report 05/11/2012
--------------------------------------------------------------	------------------------------

**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.	_____	_____	_____

**FINANCIAL DISCLOSURE REPORT**

Page 4 of 8

Name of Person Reporting <b>WHIPPLE, HAROLD "DEAN" D.</b>	Date of Report 05/11/2012
--------------------------------------------------------------	------------------------------

**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)	(2)	(1)	(2)	(1)	(2)	(3)	(4)	(5)
	Amount Code 1 (A-H)	Type (e.g., div., rent, or int.)	Value Code 2 (J-P)	Value Method Code 3 (Q-W)	Type (e.g., buy, sell, redemption)	Date mm/dd/yy	Value Code 2 (J-P)	Gain Code 1 (A-H)	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	R = Cost (Real Estate Only) V = Other	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		S = Assessment W = Estimated	T = Cash Market	

**FINANCIAL DISCLOSURE REPORT**

Page 5 of 8

Name of Person Reporting <b>WHIPPLE, HAROLD "DEAN" D.</b>	Date of Report 05/11/2012
--------------------------------------------------------------	------------------------------

**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)	(2)	(1)	(2)	(1)	(2)	(3)	(4)	(5)	
	Amount Code 1 (A-H)	Type (e.g., div., rent, or int.)	Value Code 2 (J-P)	Value Method Code 3 (Q-W)	Type (e.g., buy, sell, redemption)	Date mm/dd/yy	Value Code 2 (J-P)	Gain Code 1 (A-H)	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		

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

**FINANCIAL DISCLOSURE REPORT**

Page 6 of 8

Name of Person Reporting <b>WHIPPLE, HAROLD "DEAN" D.</b>	Date of Report 05/11/2012
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	(1)	(2)	(1)	(2)	(1)	(2)	(3)	(4)	(5)	
	Amount Code 1 (A-H)	Type (e.g., div., rent, or int.)	Value Code 2 (J-P)	Value Method Code 3 (Q-W)	Type (e.g., buy, sell, redemption)	Date mm/dd/yy	Value Code 2 (J-P)	Gain Code 1 (A-H)	Identity of buyer/seller (if private transaction)	

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:<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<br>P3=\$25,000,001 - \$50,000,000 | 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<br>P4=More than \$50,000,000 | M=\$100,001 - \$250,000<br>P2=\$5,000,001 - \$25,000,000 |                       |
| 3. Value Method Codes<br>(See Column C2)         | Q=Appraisal<br>U=Book Value                                                     | R=Cost (Real Estate Only)<br>V=Other               | S=Assessment<br>W=Estimated                                                         | T=Cash Market                                            |                       |

<b>Name of Person Reporting</b> WHIPPLE, HAROLD "DEAN" D.	<b>Date of Report</b> 05/11/2012
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**VIII. ADDITIONAL INFORMATION OR EXPLANATIONS.** *(Indicate part of report.)*

**FINANCIAL DISCLOSURE REPORT**

Page 8 of 8

Name of Person Reporting	Date of Report
WHIPPLE, HAROLD "DEAN" D.	05/11/2012

**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