AO 10
Rev. 3/2023

FINANCIAL DISCLOSURE REPORT FOR CALENDAR YEAR 2023

Report Required by the Ethics in Government Act of 1978 (5 U.S.C. app. §§ 13101-13111)

1. Person Reporting (last name, first, middle initial)	2. Court or Organization	3. Date of Report
Harpool, Mark D.	Western District of Missouri	05/01/2024
4. Title (Article III judges indicate active or senior status; magistrate judges indicate full- or part-time)	**5a. Report Type (check appropriate type)**	**6. Reporting Period**
Active	☐ Nomination Date ☐ Initial ☑ Annual ☐ Final **5b.** ☐ Amended Report	01/01/2023 **to** 12/31/2023
7. Chambers or Office Address		
222 N. John Q. Hammons Parkway Springfield, MO 65806		

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 Guide to Judiciary Policy, Volume 2D, Ch. 3, § 345 Trustees, Executors, Administrators, and Custodians; § 350 Power of Attorney; § 355 Outside Positions.)*

☑ NONE *(No reportable positions.)*

	POSITION	NAME OF ORGANIZATION/ENTITY
1.		
2.		
3.		
4.		
5.		

II. AGREEMENTS. *(Reporting individual only; see Guide to Judiciary Policy, Volume 2D, Ch. 3, § 340 Agreements and Arrangements.)*

☑ NONE *(No reportable agreements.)*

	DATE	PARTIES AND TERMS
1.		
2.		
3.		

III. NON-INVESTMENT INCOME. *(Reporting individual and spouse; see Guide to Judiciary Policy, Volume 2D, Ch. 3, § 320 Income; § 360 Spouses and Dependent Children.)*

A. Filer's Non-Investment Income

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

	DATE	SOURCE AND TYPE	INCOME (yours, not spouse's)
1.	2023	State of Missouri Retirement (MOSERS)	$13,759.00
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
1.		
2.		
3.		
4.		

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

(Includes those to spouse and dependent children; see Guide to Judiciary Policy, Volume 2D, Ch. 3, § 330 Gifts and Reimbursements; § 360 Spouses and Dependent Children.)

☑ NONE *(No reportable reimbursements.)*

	SOURCE	DATES	LOCATION	PURPOSE	ITEMS PAID OR PROVIDED
1.					
2.					
3.					
4.					
5.					

V. GIFTS. *(Includes those to spouse and dependent children; see Guide to Judiciary Policy, Volume 2D, Ch. 3, § 330 Gifts and Reimbursements; § 360 Spouses and Dependent Children.)*

☑ NONE *(No reportable gifts.)*

	SOURCE	DESCRIPTION	VALUE
1.			
2.			
3.			
4.			
5.			

VI. LIABILITIES. *(Includes those of spouse and dependent children; see Guide to Judiciary Policy, Volume 2D, Ch. 3, § 335 Liabilities; § 360 Spouses and Dependent Children.)*

☐ NONE *(No reportable liabilities.)*

	CREDITOR	DESCRIPTION	VALUE CODE
1.	Central Bank of the Ozarks	Mortgage loan on property	M
2.			
3.			
4.			
5.			

Name of Person Reporting	Date of Report
Harpool, Mark D.	05/01/2024

VII. INVESTMENTS and TRUSTS *-- income, value, transactions (Includes those of spouse and dependent children; see Guide to Judiciary Policy, Volume 2D, Ch. 3, § 310 Reporting Thresholds for Assets; § 312 Types of Reportable Property; § 315 Interests in Property; § 320 Income; § 325 Purchases, Sales, and Exchanges; § 360 Spouses and Dependent Children; § 365 Trusts, Estates, and Investment Funds.)*

☐ 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 (1) Amount Code 1 (A-H)	B. (2) Type (e.g., div., rent, or int.)	C. Gross value at end of reporting period (1) Value Code 2 (J-P)	C. (2) Value Method Code 3 (Q-W)	D. Transactions during reporting period (1) Type (e.g., buy, sell, redemption)	D. (2) Date mm/dd/yy	D. (3) Value Code 2 (J-P)	D. (4) Gain Code 1 (A-H)	
1.	A G N C INVESTMENT CORP REIT - AGNC	D	Dividend	K	T					
2.	ALIBABA GROUP HLDG LTD F - BABA		None	K	T					
3.	Ameritrade Cash Reserves MMDA12	A	Interest	K	T					
4.	ARK Innovation ETF (ARKK)	A	Dividend	K	T	Buy	04/25/23	J		
5.						Buy (add'l)	04/28/23	J		
6.						Buy (add'l)	12/08/23	J		
7.						Buy (add'l)	12/26/23	J		
8.	BANK OF AMERICA - SAVINGS	A	Interest	J	T					
9.	BANK OF AMERICA ACCOUNTS - cash/ checking	A	Interest	J	T					
10.	Charles Schwab Checking	A	Interest	J	T					
11.	Charles Schwab Money Shares	B	Interest	J	T					
12.	DIMENSIONAL FUND ADVISORS (DFA) COMMODITY STRATEGY - DCMSX	A	Dividend	J	T					
13.	DFA EMERGING MKTS - DFEMX	A	Dividend	J	T	Sold (part)	08/09/23	J	A	
14.						Sold (part)	12/05/23	J	A	
15.	DFA EMERGING MKTS VALUE PTF - DFEVX	A	Dividend	J	T	Sold (part)	05/09/23	J	A	
16.						Sold (part)	09/08/23	J	A	

1. Income Gain Codes: (See Columns B1 and D4) — 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; 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 (See Columns C1 and D3) — J =$15,000 or less; K =$15,001 - $50,000; L =$50,001 - $100,000; M =$100,001 - $250,000; 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 (See Column C2) — Q =Appraisal; R =Cost (Real Estate Only); S =Assessment; T =Cash Market; U =Book Value; V =Other; W =Estimated

Name of Person Reporting	Date of Report
Harpool, Mark D.	05/01/2024

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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 (1) Amount Code 1 (A-H)	B. (2) Type (e.g., div., rent, or int.)	C. Gross value at end of reporting period (1) Value Code 2 (J-P)	C. (2) Value Method Code 3 (Q-W)	D. Transactions during reporting period (1) Type (e.g., buy, sell, redemption)	D. (2) Date mm/dd/yy	D. (3) Value Code 2 (J-P)	D. (4) Gain Code 1 (A-H)	
17.					Sold (part)	12/05/23	J	A	
18. DFA INT'L SM CP - DFISX	A	Dividend	J	T	Sold (part)	05/09/23	J	A	
19.					Sold (part)	12/05/23	J	A	
20. DFA INT'L SM CP VAL - DISVX	A	Dividend	J	T	Sold (part)	05/09/23	J	A	
21.					Sold (part)	12/05/23	J	A	
22. DFA INT'L VALUE - DFIVX	A	Dividend	K	T	Sold (part)	05/09/23	J	B	
23.					Sold (part)	08/09/23	J	A	
24.					Sold (part)	09/08/23	J	A	
25.					Sold (part)	12/05/23	J	A	
26. DFA US LG CAP VAL - DFLVX	A	Dividend	K	T	Sold (part)	08/09/23	J	B	
27.					Sold (part)	12/05/23	J	A	
28. DFA US MICRO - DFSCX	A	Dividend	J	T	Sold (part)	08/09/23	J	A	
29.					Sold (part)	12/05/23	J	A	
30. DFA US SM CAP - DFSTX	A	Dividend	J	T	Sold (part)	02/08/23	J	B	
31.					Sold (part)	12/05/23	J	A	
32. DFA US SMALL CP - DFSVX	A	Dividend	J	T	Sold (part)	02/08/23	J	A	
33.					Sold (part)	12/05/23	J	A	

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34. FEDERATED HIGH YLD - FIHBX	A	Dividend	J	T	Sold (part)	05/09/23	J	A	
35.					Sold (part)	09/08/23	J	A	
36.					Sold (part)	12/05/23	J	A	
37. FEDERATED TOTAL RT BOND - FTRBX	A	Dividend	J	T	Sold (part)	02/08/23	J	B	
38. FEDERATED ULTRA SHRT - FULIX	A	Dividend	J	T	Sold (part)	05/09/23	J	A	
39.					Sold (part)	12/05/23	J	A	
40. GLOBAL X ROBOTICS ARTFCL INTL GNC ETF (BOTZ)	A	Dividend	K	T	Buy	04/24/23	J		
41.					Buy (add'l)	04/25/23	J		
42.					Buy (add'l)	04/28/23	J		
43.					Buy (add'l)	05/08/23	J		
44.					Buy (add'l)	10/17/23	J		
45.					Buy (add'l)	12/26/23	J		
46. GLOBAL X SUPERDIVIDEND US ETF (DIV)	A	Dividend	K	T	Buy	11/29/23	J		
47.					Buy (add'l)	12/01/23	J		
48.					Buy (add'l)	12/07/23	J		
49.					Buy (add'l)	12/12/23	J		
50.					Buy (add'l)	12/14/23	J		

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51.						Buy (add'l)	12/26/23	J		
52.	GRAYSCALE ETHEREUM COM UNT - ETHE		None			Sold (part)	08/10/23	J	A	
53.						Sold (part)	10/04/23	J	A	
54.						Sold	10/20/23	J	A	
55.	HELIOS MATHESON - HMNY		None	J	T					
56.	JANUS HENDERSON GLBL Tech T - JAGTX (Reinv Divs/Reinv Cap Gnc)	B	Dividend	M	T	Sold (part)	04/17/23	K	C	
57.						Sold (part)	07/20/23	J	A	
58.						Sold (part)	12/21/23	J	B	
59.	MOST 529 PLAN - Moderage Age-Based Opt Vanguard Growth	B	Dividend	M	T					
60.	PIMCO INVESTMENTS INTL BOND (Unhedged) INST - PFUIX	A	Dividend	J	T	Sold (part)	05/09/23	J	A	
61.						Sold (part)	12/05/23	J	A	
62.	SCHWAB BANK DDA ACCOUNT	A	Interest	J	T					
63.	SPDR GLOBAL REAL ESTATE ETF - RWO	A	Dividend	J	T					
64.	VANGUARD DEVELOPED MKTS INDEX ADMIRAL - VTMGX	A	Dividend	K	T	Sold (part)	06/20/23	J	A	
65.						Sold (part)	12/05/23	J	A	
66.	VANGUARD GROWTH INDEX ADMIRAL - VIGAX	A	Dividend	J	T	Sold (part)	06/20/23	J	A	
67.						Sold (part)	09/08/23	J	A	

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68.					Sold (part)	12/05/23	J	A	
69. VANGUARD S&P 500 INDEX - VOO	A	Dividend	K	T	Sold (part)	08/09/23	J	C	
70.					Sold (part)	12/06/23	J	B	
71. VANGUARD SHORT TERM INVT GRADE ADMIRAL - VFSUX	A	Dividend	K	T	Sold (part)	02/08/23	J	B	
72. VANGUARD SHORT TERM INFPROIDX - VTIP	A	Dividend	J	T	Sold (part)	12/06/23	J	A	
73. WISDOMTREE US HIGH DIVIDEND ETF (DHS)	A	Dividend	K	T	Buy	11/29/23	J		
74.					Buy (add'l)	12/08/23	J		
75.					Buy (add'l)	12/14/23	J		
76. WISDOMTREE US LARGECAP DIVIDEND ETF Divi Reinvested - DLN	A	Dividend	K	T	Sold (part)	04/25/23	K	A	
77.					Sold (part)	11/29/23	J	A	
78.					Sold (part)	12/06/23	J	B	
79.					Sold (part)	12/08/23	J	A	
80. WISDOMTREE US MID CAP DIVIDEND ETF (DON)	A	Dividend			Buy	11/29/23	J		
81.					Buy (add'l)	12/08/23	J		
82.					Sold	12/12/23	J		
83. WISDOMTREE US SMALL CAP DIVIDEND ETF (DES)	A	Dividend	J	T	Buy	11/29/23	J		
84.					Buy (add'l)	12/08/23	J		

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85.					Buy (add'l)	12/12/23	J		
86.					Buy (add'l)	12/12/23	J		
87. WISDOMTREE US QLT DIV GRW ETF IV (DGRW)	A	Dividend	K	T	Buy	04/18/23	J		
88.					Buy (add'l)	04/18/23	J		
89.					Buy (add'l)	04/21/23	J		
90.					Buy (add'l)	05/08/23	J		

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

Part VII. - Interest earned on bank accounts at a particular banking institution were combined into one entry for the entire year.

Part VII. - Dividends and capital gains on individual stocks and mutual funds were combined into one entry for that stock for the year.

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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. § 13141 et. seq., 5 U.S.C. § 7353, and Judicial Conference regulations.

Signature: s/ Mark D. Harpool

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. § 13106)

Committee on Financial Disclosure
Administrative Office of the United States Courts
Suite G-330
One Columbus Circle, N.E.
Washington, D.C. 20544