AO 10
Rev. 3/2023

# FINANCIAL DISCLOSURE REPORT FOR CALENDAR YEAR 2022

*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 |
|---|---|---|
| Tharp, John J. | District Court, Northern District of Illinois | 06/11/2023 |
| **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** |
| District Judge (Active) | ☐ Nomination Date<br>☐ Initial ☑ Annual ☐ Final<br>**5b.** ☑ Amended Report | 01/01/2022 **to** 12/31/2022 |
| **7. Chambers or Office Address** | | |
| United States District Court<br>Everett McKinley Dirksen United States Courthouse<br>219 S. Dearborn Street<br>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 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. | Co-Trustee | Trust #1 (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 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. | | | |
| 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. | 2022 | Salary from [redacted] (CPA firm) |
| 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. | United Pacific Life (n/k/a Genworth Life Ins. Co.) | Loan #1 | K |
| 2. | United Pacific Life (n/k/a Genworth Life Ins. Co.) | Loan #2 | K |
| 3. | JP Morgan Chase | Credit Card | J |
| 4. | | | |
| 5. | | | |

| Name of Person Reporting | Date of Report |
|---|---|
| **Tharp, John J.** | 06/11/2023 |

## 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 | | B | | C | | D | | | | |
|---|---|---|---|---|---|---|---|---|---|---|
| Description of Assets (including trust assets) | | Income during reporting period | | Gross value at end of reporting period | | Transactions during reporting period | | | | |
| Place "(X)" after each asset exempt from prior disclosure | | (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) | |
| 1. | General Electric (common stock) | A | Dividend | | | Sold | 12/31/21 | J | | |
| 2. | IBM (common stock) | C | Dividend | M | T | | | | | |
| 3. | JP Morgan Chase Bank Accounts | A | Interest | M | T | | | | | |
| 4. | Northwestern Mutual Insurance Policies (Whole Life) | D | Dividend | M | T | | | | | |
| 5. | Pfizer (common stock) | D | Dividend | M | T | | | | | |
| 6. | United Pacific Life Ins. (Universal Life; no control) (nka Genworth) | D | Dividend | N | T | | | | | |
| 7. | U.S. Savings Bonds | | None | K | T | | | | | |
| 8. | Vanguard Dividend Growth Fund | D | Dividend | M | T | | | | | |
| 9. | Vanguard Energy Fund | A | Dividend | K | T | | | | | |
| 10. | Vanguard Federal Money Market Fund | B | Int./Div. | M | T | | | | | |
| 11. | Vanguard Information Tech ETF | B | Dividend | M | T | | | | | |
| 12. | Vanguard Mid-Cap ETF | A | Dividend | K | T | | | | | |
| 13. | Vanguard Long-Term Tax Exempt Bond Fund | A | Dividend | K | T | | | | | |
| 14. | Vanguard S&P 500 Index Fund | B | Dividend | M | T | | | | | |
| 15. | Fidelity CORE Cash Sweep Fund | A | Int./Div. | J | T | | | | | |
| 16. | Capital One Checking | A | Interest | J | T | | | | | |
| 17. | Dupont De Nemours | A | Dividend | K | T | | | | | |

| | | | | | | |
|---|---|---|---|---|---|---|
| 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 | |
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|---|---|---|---|---|---|---|---|---|---|---|
| | | (1)<br>Amount<br>Code 1<br>(A-H) | (2)<br>Type (e g , div , rent, 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 , buy, sell, redemption) | (2)<br>Date<br>mm/dd/yy | (3)<br>Value<br>Code 2<br>(J-P) | (4)<br>Gain<br>Code 1<br>(A-H) | |
| 18. | Wabtec | A | Dividend | J | T | | | | | |
| 19. | Vanguard Growth ETF | A | Dividend | K | T | | | | | |
| 20. | PTC Inc. | | None | J | T | | | | | |
| 21. | Viatris (common) | A | Dividend | J | T | | | | | |
| 22. | Kyndryl Holdings Inc. | | None | J | T | | | | | |
| 23. | Vanguard ESG Stock ETF | A | Dividend | K | T | Buy | 01/10/22 | K | | |
| 24. | IRA #1 (H) | | | | | | | | | |
| 25. | --Vanguard Total International Stock Index Fund | C | Dividend | M | T | | | | | |
| 26. | --Vanguard Total Stock Market Index Fund | C | Dividend | M | T | | | | | |
| 27. | --Vanguard Total Bond Market Index Fund | A | Dividend | K | T | | | | | |
| 28. | IRA #2 (H) | | | | | | | | | |
| 29. | --Vanguard Total International Stock Index Fund | A | Dividend | J | T | | | | | |
| 30. | --Vanguard Total Stock Market Index Fund | A | Dividend | L | T | | | | | |
| 31. | --Vanguard Total Bond Market Index Fund | A | Dividend | J | T | | | | | |
| 32. | IRA #3 (H) | | | | | | | | | |
| 33. | --Fidelity Magellan Fund | E | Dividend | N | T | | | | | |
| 34. | IRA #4 (H) | | | | | | | | | |

| | | | | | | |
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|---|---|---|---|---|---|---|---|---|---|
| 35. --Vanguard 500 Index Fund | B | Dividend | L | T | | | | | |
| 36. IRA #5 (H) | | | | | | | | | |
| 37. --CIVIX - MFO Causeway Cap Mgmt Tr Intl Value FD Instl Cl | C | Dividend | M | T | | | | | |
| 38. --DFCEX - MFO DFA Invt. Dimensions Group Inc Emerging Mkts | D | Dividend | M | T | | | | | |
| 39. --DFITX - MFO DFA Invt Dimensions Group Inc Intl Real Estate | C | Dividend | L | T | | | | | |
| 40. --DFREX - MFO DFA Invt Dimensions Group Inc. Real Estate | C | Dividend | L | T | | | | | |
| 41. --GUNR - MFC Flexshares TR Morningstar Global Upstream NRIF | C | Dividend | M | T | | | | | |
| 42. --NMFIX MFB Northern Multimanager | C | Dividend | L | T | | | | | |
| 43. --NOMIX - MFB Northern Mid Cap Index Fund | D | Dividend | M | T | | | | | |
| 44. --NOSIX - MFB Northern Funds Stock Index Fund | E | Dividend | O | T | | | | | |
| 45. --NSIDX - MFB Northern Funds Small Cap Index Fund | D | Dividend | M | T | | | | | |
| 46. --QDF MFC Flexshares Trust Quality | D | Dividend | N | T | | | | | |
| 47. --NHFIX MFB Northern High Yield Fixed Income | B | Dividend | K | T | | | | | |
| 48. --BHYIX Black Rock Federal High Yield Bond | D | Int./Div. | M | T | | | | | |
| 49. --MIEIX MFS Instl Intl Equity Fund | A | Dividend | L | T | | | | | |
| 50. --VEA VAnguard FTSE Developed Mkts ETF | D | Dividend | M | T | | | | | |
| 51. --VWO MFC Vanguard Intl Equity Index Fd FTSE Emerging Mkts | B | Dividend | M | T | | | | | |

| | | | | | |
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| 52. NOGXX Northern US Govt Money Market | A | Int./Div. | M | T | | | | | |
| 53. IRA #6 (H) | | | | | | | | | |
| 54. --Fidelity Blue Chip Growth | A | Dividend | M | T | | | | | |
| 55. --Fidelity Magellan (formerly Fidelity Independence) | E | Dividend | O | T | | | | | |
| 56. IRA #7 (H) | | | | | | | | | |
| 57. --Fidelity Magellan Fund (formerly Fidelity Independence) | C | Dividend | L | T | | | | | |
| 58. Trust #1 (H) | | | | | | | | | |
| 59. Trust #2 (H) | | | | | | | | | |
| 60. --Allstate (common) (Y) | A | Dividend | | | | | | | |
| 61. --American Electric Power (common) (Y) | | | | | | | | | |
| 62. --AT&T (common) (Y) | A | Dividend | | | | | | | |
| 63. --Blackrock Global Allocation C | | None | | | Sold | 03/21/22 | K | A | |
| 64. --BP Amoco (ADR) (Y) | | | | | | | | | |
| 65. --Chemours (Y) | | | | | | | | | |
| 66. --Conoco Phillips (common) (Y) | A | Dividend | | | | | | | |
| 67. --Duke Energy (common) (Y) | | | | | | | | | |
| 68. --Exxon (common) (Y) | | | | | | | | | |

| | | | | | |
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|---|---|---|---|---|---|---|---|---|---|
| 69. --Fortune Brands Home & Security (common) (Y) | | | | | | | | | |
| 70. --Hershey (common) (Y) | | | | | | | | | |
| 71. --ISHARES Russell Mid Cap ETF (Y) | | | | | | | | | |
| 72. --ISHARES S&P Growth ETF (IVW) (Y) | | | | | | | | | |
| 73. --Ivy Asset Strategy | A | Dividend | | | Sold | 03/21/22 | K | B | |
| 74. --JP Morgan Chase Cash Accounts (Y) | | | | | | | | | |
| 75. --JP Morgan Tr I US Small Co. Cl C | | None | | | Sold | 03/21/22 | J | A | |
| 76. --JP Morgan Tr II Large Cap Growth (formerly JP Morgan Dynamic Growth) | | None | | | Sold | 03/21/22 | M | E | |
| 77. --Lincoln National Group (common) (Y) | A | Dividend | | | | | | | |
| 78. --Merck (common) (Y) | A | Dividend | | | | | | | |
| 79. --Pfizer (common) (Y) | | | | | | | | | |
| 80. --Phillips 66 (common) (Y) | | | | | | | | | |
| 81. --Sterling Cap FDS Mid Value FD (OVECX) | | None | | | Sold | 03/21/22 | L | C | |
| 82. --Walgreen's Boots Alliance (common) (Y) | | | | | | | | | |
| 83. --Enbridge Inc. (common) (formerly Spectra Energy) (Y) | | | | | | | | | |
| 84. --Ishares Core S&P Small Cap ETF (Y) | | | | | | | | | |
| 85. --Corteva Inc. (Y) | | | | | | | | | |

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| 86. --Dow Inc. (Y) | | | | | | | | | |
| 87. --Dupont De Nemours Inc. (Y) | | | | | | | | | |
| 88. --Invesco Exchange Traded Fd Tr Dynamic Lg Cap (Y) | | | | | | | | | |
| 89. --Occidental Petroleum (formerly Anadarko Petroleum) (Y) | | None | | | | | | | |
| 90. --Organon & Co. (common) (Y) | | | | | | | | | |
| 91. --Ivy Asset Strategy CL A | | None | | | Sold | 03/21/22 | K | D | |
| 92. --Viatris (Y) | | None | | | | | | | |
| 93. Trust #3 (H) | | | | | | | | | |
| 94. --3-M (common) (Y) | | | | | | | | | |
| 95. --Allstate (common) (Y) | A | Dividend | | | | | | | |
| 96. --Bank of America (common) (Y) | | | | | | | | | |
| 97. --Exelon (common) (Y) | | | | | | | | | |
| 98. --Exxon (common) (Y) | | | | | | | | | |
| 99. --IBM (common) (Y) | | | | | | | | | |
| 100. --JP Morgan Chase (common) (Y) | A | | | | | | | | |
| 101. --Lincoln National Corp. (common) (Y) | A | | | | | | | | |
| 102. --Pfizer (common) (Y) | | | | | | | | | |

| | | | | | |
|---|---|---|---|---|---|
| 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 | |
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| Name of Person Reporting | Date of Report |
|---|---|
| **Tharp, John J.** | 06/11/2023 |

## 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 | B | | C | | D | | | | |
|---|---|---|---|---|---|---|---|---|---|
| Description of Assets (including trust assets) | Income during reporting period | | Gross value at end of reporting period | | Transactions during reporting period | | | | |
| Place "(X)" after each asset exempt from prior disclosure | (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) | |
| 103. --Sherwin Williams (common) (Y) | | | | | | | | | |
| 104. --Corteva Inc. (Y) | | | | | | | | | |
| 105. --Dow Inc. (Y) | | | | | | | | | |
| 106. --Dupont De Nemours Inc. (Y) | | | | | | | | | |
| 107. --JP Morgan Deposit account (Y) | | | | | | | | | |
| 108. --Viatris (Y) | | | | | | | | | |
| 109. --Kyndryl Holdings Inc. (Y) | | | | | | | | | |
| 110. Trust #4 (H) | | | | | | | | | |
| 111. --3-M (common) (Y) | | | | | | | | | |
| 112. --Exxon Mobil (common) (Y) | | | | | | | | | |
| 113. --McDonald's (common) (Y) | | | | | | | | | |
| 114. --JP Morgan Chase Cash Account (Y) | | | | | | | | | |
| 115. Trust #5 (formerly Trust #7 ) (H) | | | | | | | | | |
| 116. --Spdr S&P 500 ETF Trust (SPY) (Y) | B | Dividend | | | | | | | |
| 117. Trust #6 (formerly Trust #8) (H) | | | | | | | | | |
| 118. --SPDR 500 ETF TR (SPY) (Y) | B | Dividend | | | | | | | |
| 119. Trust #7 (formerly Trust #9) (H) | | | | | | | | | |

| | | | | | |
|---|---|---|---|---|---|
| 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 | |
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| Name of Person Reporting | Date of Report |
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## 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 | B | | C | | D | | | | |
|---|---|---|---|---|---|---|---|---|---|
| Description of Assets (including trust assets) | Income during reporting period | | Gross value at end of reporting period | | Transactions during reporting period | | | | |
| Place "(X)" after each asset exempt from prior disclosure | (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) | |
| 120. --Fidelity 500 Index Fund (Y) | E | Dividend | | | Sold (part) | 02/25/22 | M | D | |
| 121. | | | | | Sold (part) | 05/13/22 | J | A | |
| 122. | | | | | Sold (part) | 07/18/22 | J | A | |
| 123. | | | | | Sold (part) | 09/13/22 | J | A | |
| 124. Trust #8 (formerly Trust #10) (H) | | | | | | | | | |
| 125. --25% interest in Farm LLC | E | Distribution | O | W | | | | | |
| 126. --JJP Morgan Checking | | None | M | T | | | | | |
| 127. --Account G (H) | | | | | | | | | |
| 128. ---Fidelity 500 Index (FXAIX) | C | Dividend | N | T | Buy (add'l) | 02/01/22 | L | | |
| 129. | | | | | Buy (add'l) | 06/17/22 | M | | |
| 130. | | | | | Buy (add'l) | 10/11/22 | J | | |
| 131. ---Ishares S&P Growth ETF (IVW) | A | Dividend | K | T | | | | | |
| 132. ---Ishares S&P Value (VE) | A | Dividend | K | T | | | | | |
| 133. ---JPM Tax Aware Equity Fd USD R6 (JPELX) | D | Dividend | L | T | | | | | |
| 134. ---Six Circles US Unconstained Eequity (CUSUX) | D | Dividend | N | T | Buy (add'l) | 06/17/22 | J | | |
| 135. ---SPDR S&P 500 ETF Trust (SPV) | D | Dividend | O | T | | | | | |
| 136. ---Fideliy Int'l Indx - Inst Prm (FSPSX) | B | Dividend | K | T | Buy (add'l) | 01/06/22 | K | | |

| | | | | | |
|---|---|---|---|---|---|
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| | 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 | |
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## 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 | B | | C | | D | | | | |
|---|---|---|---|---|---|---|---|---|---|
| Description of Assets (including trust assets) | Income during reporting period | | Gross value at end of reporting period | | Transactions during reporting period | | | | |
| Place "(X)" after each asset exempt from prior disclosure | (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) | |
| 137. | | | | | Sold (part) | 08/19/22 | J | A | |
| 138. ---Ishares MSCI EAFE ETF (EFA) | C | Dividend | M | T | | | | | |
| 139. ---JPMorgan BetaBuilders Canada (BBA) | B | Dividend | L | T | | | | | |
| 140. ---MFS Int'l Intrinsic Value - R6 (MINIX) | A | Dividend | J | T | | | | | |
| 141. ---Six Circles Int'l Unconstained equ (CIUEX) | D | Dividend | M | T | Sold (part) | 03/15/22 | M | A | |
| 142. | | | | | Buy (add'l) | 04/21/22 | M | | |
| 143. ---JPMorgan BetaBuilders Europe ETF (BBEU) | C | Dividend | | | Buy (add'l) | 01/10/22 | J | | |
| 144. | | | | | Buy (add'l) | 03/17/22 | M | | |
| 145. | | | | | Sold (part) | 04/20/22 | M | C | |
| 146. | | | | | Sold (part) | 08/11/22 | L | A | |
| 147. | | | | | Sold | 08/19/22 | K | B | |
| 148. ---JPMorgan Beetabuilders Japan ETF (BBJP) | B | Dividend | L | T | Buy (add'l) | 01/17/22 | J | | |
| 149. ---JPMorgan Betabuilders Dev Asia X- JPN (BBAX) | C | Dividend | L | T | Buy (add'l) | 01/07/22 | J | | |
| 150. | | | | | Buy (add'l) | 01/10/22 | J | | |
| 151. ---JPM Interim T/F Bond Fd - R6 (JTZX) | A | Dividend | M | T | | | | | |
| 152. ---Schwab Shro-Term US Treasury (CHO) | A | Dividend | K | T | Buy (add'l) | 01/17/22 | J | | |
| 153. | | | | | Sold (part) | 01/31/22 | L | 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

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## 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<br>Description of Assets (including trust assets)<br><br>Place "(X)" after each asset exempt from prior disclosure | B<br>Income during reporting period<br>(1) Amount Code 1 (A-H) | B<br>(2) Type (e g , div , rent, or int ) | C<br>Gross value at end of reporting period<br>(1) Value Code 2 (J-P) | C<br>(2) Value Method Code 3 (Q-W) | D<br>Transactions during reporting period<br>(1) Type (e g , buy, sell, redemption) | D<br>(2) Date mm/dd/yy | D<br>(3) Value Code 2 (J-P) | D<br>(4) Gain Code 1 (A-H) | |
|---|---|---|---|---|---|---|---|---|---|
| 154. | | | | | Buy (add'l) | 08/23/22 | K | | |
| 155. | | | | | Sold (part) | 10/20/22 | K | A | |
| 156. ---Fidelity Sch Str Tr (FIQZX) | B | Dividend | L | T | Buy (add'l) | 06/17/22 | J | | |
| 157. ---Six Circles Tax Aware Bond Fd (CBAX) | C | Dividend | M | T | Buy (add'l) | 01/06/22 | J | | |
| 158. | | | | | Sold (part) | 09/29/22 | L | A | |
| 159. | | | | | Buy (add'l) | 11/18/22 | L | | |
| 160. ---Six Circles Credit Opportunity Fd | C | Dividend | L | T | Buy (add'l) | 01/06/22 | J | | |
| 161. | | | | | Sold (part) | 02/07/22 | K | A | |
| 162. | | | | | Buy (add'l) | 06/17/22 | K | | |
| 163. | | | | | Buy (add'l) | 10/20/22 | K | | |
| 164. ---JPMorgan cash accounts | A | Interest | K | T | | | | | |
| 165. ---Ishares 7-10 Yr Treasury (IEF) | A | Dividend | K | T | Buy | 02/09/22 | J | | |
| 166. | | | | | Buy (add'l) | 02/10/22 | K | | |
| 167. | | | | | Buy (add'l) | 06/21/22 | J | | |
| 168. ---Ishares 3-7 Yr Treasury (IEI) | A | Dividend | L | T | Buy | 06/21/22 | K | | |
| 169. | | | | | Buy (add'l) | 08/23/22 | J | | |
| 170. ---Vanguard Intermediate Term Treasury (VGIT) | A | Dividend | L | T | Buy | 08/15/22 | L | | |

| | | | | | |
|---|---|---|---|---|---|
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| A<br>Description of Assets (including trust assets)<br><br>Place "(X)" after each asset exempt from prior disclosure | B<br>Income during reporting period<br>(1) Amount Code 1 (A-H) | B<br>(2) Type (e g , div , rent, or int ) | C<br>Gross value at end of reporting period<br>(1) Value Code 2 (J-P) | C<br>(2) Value Method Code 3 (Q-W) | D<br>Transactions during reporting period<br>(1) Type (e g , buy, sell, redemption) | D<br>(2) Date mm/dd/yy | D<br>(3) Value Code 2 (J-P) | D<br>(4) Gain Code 1 (A-H) | |
|---|---|---|---|---|---|---|---|---|---|
| 171. ---Vanguard Tax Exempt Bond Fund ETF (VTEB) | A | Dividend | K | T | Buy | 10/20/22 | K | | |
| 172. ---Ishares National Muni bond Fund (MUB) | A | Dividend | | | Buy | 09/29/22 | L | | |
| 173. | | | | | Sold | 11/08/22 | L | A | |
| 174. --Account E (H) | | | | | | | | | |
| 175. ---Allstate (common) (X) | B | Dividend | M | T | | | | | |
| 176. ---American Electric Power (common) (X) | B | Dividend | K | T | | | | | |
| 177. ---AT&T (common) (X) | B | Dividend | K | T | | | | | |
| 178. ---Bank of America (common) (X) | A | Dividend | J | T | | | | | |
| 179. ---BP (common) (X) | A | Dividend | J | T | | | | | |
| 180. ---Chemours Co. (common) (X) | A | Dividend | J | T | | | | | |
| 181. ---Conoco Phillips (common) (X) | B | Dividend | K | T | | | | | |
| 182. ---Constellation Energy (common) (X) | A | Dividend | J | T | Spinoff (from line 188) | 02/02/22 | J | | |
| 183. ---Corteva Inc. (common) (X) | A | Dividend | K | T | | | | | |
| 184. ---Dow Inc. (common) (X) | A | Dividend | K | T | | | | | |
| 185. ---Duke Energy (common) (X) | A | Dividend | J | T | | | | | |
| 186. ---DuPont De Nemours Inc. (common) (X) | A | Dividend | K | T | | | | | |
| 187. ---Enbridge Inc. (common) (X) | A | Dividend | J | T | | | | | |

| | | | | | |
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| | 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 | |
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☐ NONE *(No reportable income, assets, or transactions.)*

| A | B | | C | | D | | | | |
|---|---|---|---|---|---|---|---|---|---|
| Description of Assets (including trust assets) | Income during reporting period | | Gross value at end of reporting period | | Transactions during reporting period | | | | |
| Place "(X)" after each asset exempt from prior disclosure | (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) | |
| 188. ---Exelon (common) (X) | A | Dividend | J | T | | | | | |
| 189. ---Exxon (common) (X) | D | Dividend | N | T | | | | | |
| 190. ---Fidelity 500 Index Fund (X) | E | Dividend | P1 | T | | | | | |
| 191. ---Fortune brands Innovations (formerly Fortune Brands) (common)(X) | A | Dividend | K | T | | | | | |
| 192. ---Hershey (common) (X) | B | Dividend | M | T | | | | | |
| 193. ---IBM (common) (X) | A | Dividend | J | T | | | | | |
| 194. ---Invesco ETF Tr Dynamic Lg Cap (X) | A | Dividend | J | T | | | | | |
| 195. ---Ishares Core S&P Small Cap ETF (X) | A | Dividend | L | T | | | | | |
| 196. ---Ishares Russell MidCap ETF (X) | A | Dividend | K | T | | | | | |
| 197. ---Ishares S&P 500 Growth ETF (IVW) (X) | A | Dividend | K | T | | | | | |
| 198. ---JP Morgan Chase (common) (X) | A | Dividend | K | T | | | | | |
| 199. ---Kyndryl Holdings (common) (X) | | None | J | T | | | | | |
| 200. ---Lincoln National (common) (X) | A | Dividend | K | T | | | | | |
| 201. ---Masterbrand Inc. (common) (X) | | None | J | T | Spinoff (from line 191) | 12/15/22 | J | | |
| 202. ---McDonalds (common) (X) | E | Dividend | P1 | T | | | | | |
| 203. ---Merck (common) (X) | A | Dividend | L | T | | | | | |
| 204. ---Occidental Petroleum (common) (X) | A | Dividend | J | T | | | | | |

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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
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3 Value Method Codes (See Column C2)
Q =Appraisal R =Cost (Real Estate Only) S =Assessment T =Cash Market
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|---|---|
| **Tharp, John J.** | 06/11/2023 |

## 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 | B | | C | | D | | | | |
|---|---|---|---|---|---|---|---|---|---|
| Description of Assets (including trust assets) | Income during reporting period | | Gross value at end of reporting period | | Transactions during reporting period | | | | |
| Place "(X)" after each asset exempt from prior disclosure | (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) | |
| 205. ---Orgonon & Co. (common) (X) | A | Dividend | J | T | | | | | |
| 206. ---Pfizer (common) (X) | C | Dividend | L | T | | | | | |
| 207. ---Phillips 66 (common) (X) | A | Dividend | K | T | | | | | |
| 208. ---Sherwin Williams (common) (X) | B | Dividend | M | T | | | | | |
| 209. ---Viatris (common) (X) | A | Dividend | J | T | | | | | |
| 210. ---Walgreens Boots Alliance (common) (X) | C | Dividend | L | T | | | | | |
| 211. ---Warner Bros. Discovery Inc. (common) (X) | | None | J | T | Spinoff (from line 177) | 04/14/22 | J | | |
| 212. ---3M (common) (X) | D | Dividend | M | T | | | | | |
| 213. ---Cash account (X) | D | Interest | L | T | | | | | |
| 214. | | | | | | | | | |

| | | | | | |
|---|---|---|---|---|---|
| 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 |
|---|---|
| **Tharp, John J.** | 06/11/2023 |

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

Additional Information Concerning Part VII, Investments and Trusts:

Line 1: All lshares sold in 2021, but lagging dividend payment received in 2022 reported as income.

Line 58: Trust #1 has no reportable assets. I did not create the Trust and am not a beneficiary.

Line 59: All assets of Trust #2 were transferred in kind to Trust #8 and Trust #2 terminated. Income and transaction data for Trust #2 assets prior to the transfer are reported under Trust #2; data for asset transaction after the transfer date (if any) are included in the data reported for Trust #8. Valuation data as of 12/31/22 are reported in Trust #8.

Line 93: All assets of Trust #3 were transferred in kind to Trust #8 and Trust #3 terminated. Income and transaction data for Trust #3 assets prior to the transfer are reported under Trust #3; data for asset transaction after the transfer date (if any) are included in the data reported for Trust #8. Valuation data as of 12/31/22 are reported in Trust #8.

Line 110: All assets of Trust #4 were transferred in kind to Trust #8 and Trust #4 terminated. Income and transaction data for Trust #4 assets prior to the transfer are reported under Trust #4; data for asset transaction after the transfer date (if any) are included in the data reported for Trust #8. Valuation data as of 12/31/22 are reported in Trust #8.

Line 115: Former Trust #7 (now listed as Trust #5) terminated at 12/31/21 but received lagging income in 2022 as reflected onn Line 116). I have included this trust despite its termination in order to report the income received after its termination. This cash was transferred to Trust #8.

Line 117: Former Trust #8 (now listed as Trust #6) terminated at 12/31/21 but received lagging income in 2022 as reflected onn Line 118). I have included this trust despite its termination in order to report the income received after its termination. This cash was transferred to Trust #8.

Line 119: Former Trust #9 (now listed as Trust #7) terminated in 2022; remaining assets after partial sales indicated on lines 120, 121, 122, and 123 were transferred in kind to Trust #8.

Line 174: Ttransfers into Trust #8 are reported on lines 175-181, 182-200, 202-210, and 212-213 and are reported as (X) transactions because there is no reportable transaction to account for the transfer of these assets into Trust #8.

| Name of Person Reporting | Date of Report |
|---|---|
| **Tharp, John J.** | 06/11/2023 |

## 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/ 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. § 13106)**

Committee on Financial Disclosure
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