

FINANCIAL DISCLOSURE REPORT FOR CALENDAR YEAR 2011

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) Griffin, Juliet E.	2. Court or Organization Middle District of Tennessee	3. Date of Report 7/9/2012
4. Title (Article III judges indicate active or senior status; magistrate judges indicate full- or part-time) U.S. Magistrate Judge Full	5a. Report Type (check appropriate type) ☐ Nomination ☐ Date ☐ Initial ☒ Annual ☐ Final 5b. ☐ Amended Report	6. Reporting Period 01/01/2011 to 12/31/2011
7. Chambers or Office Address 756 U.S. Courthouse 801 Broadway Nashville, TN 37203		
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. Insert signature on last page.		

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

☒ **NONE** (No reportable positions.)

POSITION

NAME OF ORGANIZATION/ENTITY

1.		
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. _____

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.	Capital Bank (formerly GreenBank, formerly Cumberland Bank)	Mortgage on Rental Property	M
2.	Washington Universtiy in St. Louis	Tuition, Board, Fees	K
3.	MasterCard	 Credit Card	J
4.	Chase Visa	 Credit Card	J
5.	Sally Mae tuition loan	Educational loan	K

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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. Invesco									
2. American Capital Pace Fund Class A (Capital Growth Fund A)		None			Closed	07/21/11	J	A	
3.									
4. TD AMERITRADE MAIN ACCOUNT									
5. Ford Motor Co. 8.9%	A	Interest	J	T					
6. Georgia Pacific 7.25%	A	Interest	J	T					
7. Intelsat Global Notes 7.625%	A	Interest			Sold	3/18/11	J		
8. Cash	A	Interest	J	T					
9.									
10. Apple Inc		None			Sold (part)	1/20/11	J	A	
11. Apple		None			Buy (add'l)	2/10/11	J		
12. Apple		None			Buy (add'l)	2/17/11	J		
13. Apple		None			Buy (add'l)	3/21/11	J		
14. Apple		None			Sold (part)	4/08/11	J	A	
15. Apple		None			Sold	4/12/11	J	A	
16.									
17. Freeport McMoran Copper & Gold		None			Sold (part)	1/4/11	J	A	

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 H = \$5,001 - \$15,000	D = \$15,001 - \$50,000 E = \$50,001 - \$100,000
2. Value Codes (See Columns C1 and D3)	J = \$15,000 or less N = \$250,001 - \$500,000 P3 = \$250,000.001 - \$500,000.000	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 = \$250,000.001 - \$500,000.000
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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	(1) Amount Code I (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)

18. Freeport McMoran		None			Buy (add'l)	2/15/11	J		
19. Freeport McMoran		None			Sold	4/12/11	J	A	
20. General Motors Co		None			Sold	4/12/11	J		
21. MicroChip Technology		None			Sold	4/12/11	J	A	
22.									
23. SPDR Gold ETF (GLD)		None	J	T	Sold (part)	1/4/11	J	A	
24. GLD		None			Buy	4/06/11	J		
25. GLD		None			Buy (add'l)	6/01/11	J		
26. GLD		None			Buy (add'l)	7/11/11	J		
27. GLD		None			Buy (add'l)	7/14/11	J		
28. GLD		None			Sold (part)	8/4/11	J		
29. GLD		None			Sold (part)	8/12/11	J		
30. GLD		None			Buy (add'l)	8/16/11	J		
31. GLD		None			Buy (add'l)	8/18/11	J		
32. GLD		None			Sold (part)	8/24/11	J	A	
33. GLD		None			Buy (add'l)	9/06/11	J		
34. GLD		None			Sold (part)	9/22/11	J		

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35. GLD		None			Sold	10/28/11	J	A	
36.									
37. SPXU (Short S&P 500)		None			Buy	2/14/11	J		
38. SPXU		None			Buy (add'l)	2/15/11	J		
39. SPXU		None			Sold (part)	3/15/11	J	A	
40. SPXU		None			Sold (part)	3/16/11	J	A	
41. SPXU		None			Sold (part)	3/21/11	J	A	
42. SPXU		None			Sold (part)	5/02/11	J		
43. SPXU		None			Sold	5/10/11	J		
44.									
45. BARZ Inc		None			Buy	3/30/11	J		
46. BARZ Inc		None			Buy (add'l)	3/31/11			
47. BARZ Inc		None			Buy (add'l)	4/06/11	J		
48. BARZ Inc		None			Buy (add'l)	4/07/11	J		
49. BARZ Inc		None			Sold (part)	4/12/11	J		
50. BARZ Inc		None			Sold (part)	4/18/11	J		
51. BARZ Inc		None			Sold (part)	5/4/11	J		

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52. BARZ Inc		None			Sold	5/06/11	J		
53.									
54. GLD Put		None			Buy	12/15/11	J		
55. GLD Put		None			Sold	12/15/11	J		
56.									
57. SLV (Silver ETF)		None			Buy	4/08/11	J		
58. SLV		None			Buy (add'l)	4/14/11	J		
59. SLV		None			Buy (add'l)	4/15/11	J		
60. SLV		None			Buy (add'l)	4/20/11	J		
61. SLV		None			Buy (add'l)	4/21/11	J		
62. SLV		None			Buy (add'l)	4/25/11	J		
63. SLV		None			Sold	4/27/11	J	A	
64.									
65. SLV Call Option		None			Buy	4/21/11	J		
66. SLV Call Option		None			Sold	4/25/11	J	A	
67. SLV Call Option		None			Buy	5/02/11	J		
68. SLV Call Option		None			Sold	5/4/11	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
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69. SLV Put Option		None			Buy	5/05/11	J		
70. SLV Put Option		None			Sold	5/06/11	J		
71. SLV Put Option		None			Buy	5/09/11	J		
72. SLV Call Option		None			Buy	5/09/11	J		
73. SLV Put Option		None			Sold	5/09/11	J		
74. SLV Call option		None			Buy	5/10/11	J		
75. SLV Call option		None			Sold	5/11/11	J		
76. SLV Call Option		None			Sold	5/17/11	J		
77.									
78. AWK (American Water Works) Call		None			Buy	5/10/11	J		
79. AWK Call		None			Buy (add'l)	5/11/11	J		
80. AWK Calls		None			Sold (part)	6/08/11	J		
81. AWK Call		None			Expired	9/19/11	J		
82.									
83. SPY (ETF) Put		None			Buy	6/01/11	J		
84. SPY Put		None			Buy (add'l)	6/08/11	J		
85. SPY Put		None			Buy (add'l)	6/08/11	J		

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86. SPY Put		None			Buy	6/16/11	J		
87. SPY Put		None			Sold (part)	7/15/11	J		
88. SPY Puts		None			Sold (part)	7/29/11	J		
89. SPY Put		None			Sold	8/1/11	J		
90. SPY put		None			Buy	10/11/11	J		
91. SPY Put		None			Sold (part)	10/11/11	J		
92. SPY Put		None			Buy	10/17/11	J		
93. SPY Puts		None			Sold	10/24/11	J		
94. SPY Puts		None			Buy	11/02/11	J		
95. SPY Puts		None			Sold	11/03/11	J		
96. SPY Put		None			Buy	11/09/11	J		
97. SPY Put		None			Sold	11/11/11	J		
98. SPY Put		None			Buy	11/23/11	J		
99. SPY Put		None			Buy (add'l)	11/28/11	J		
100. SPY Put		None			Buy (add'l)	12/08/11	J		
101. SPY Put		None			Sold (part)	12/14/11	J		
102. SPY Put		None			Sold (part)	12/14/11	J		

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103. SPY Put		None			Sold	12/16/11	J		
104.									
105. XLF (ETF) Puts		None			Buy	7/11/11	J		
106. XLF Puts		None			Sold	8/02/11	J	A	
107. XLF Put		None			Buy	12/14/11	J		
108. XLF Put		None			Sold	12/16/11	J		
109.									
110. Apple		None			Buy	8/4/11	J		
111. Apple		None			Buy (add'l)	8/11/11	J		
112. Apple		None			Buy (add'l)	8/22/11	J		
113. Apple		None			Buy (add'l)	9/26/11	J		
114. Apple		None			Sold (part)	10/17/11	J	A	
115. Apple		None			Sold (part)	10/18/11	J	A	
116. Apple		None			Buy (add'l)	10/24/11	J		
117. Apple		None			Sold	10/28/11	J	A	
118.									
119. FedEx		None			Buy	10/24/11	J		

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120. FedEx		None			Sold	10/26/11	J		
121.									
122. Salesforce.com Inc Put		None	J	T	Buy	10/26/11	J		
123. Salesforce.com Inc Put		None			Sold	10/27/11	J		
124. Salesforce.com Inc Put		None			Buy	10/31/11	J		
125. Salesforce.com Inc Put		None			Sold	10/31/11	J	A	
126. Salesforce.com Inc Put		None			Buy	11/02/11	J		
127. Salesforce.com Inc Put		None			Sold	11/03/11	J		
128. Salesforce.com Inc Put		None			Buy	11/03/11	J		
129. Salesforce.com Inc Put		None			Sold	11/11/11	J		
130. Salesforce.com Inc Put		None			Buy	12/14/11	J		
131. Salesforce.com Inc Put		None			Sold	12/15/11	J	A	
132. Salesforce.com Inc Put		None			Buy	12/21/11	J		
133. Salesforce.com Inc Put		None			Buy (add'l)	12/22/11	J		
134.									
135. FedEx (FXE)Put		None			Buy	12/14/11	J	A	
136. FedEx (FXE)Put		None			Sold	12/15/11	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	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)
137.									
138. Athena Health Inc. Call		None			Buy	12/15/11	J		
139. Athena Health Inc. Call		None			Sold	12/16/11	J		
140.									
141. LinkedIn Corp Put		None			Buy	12/16/11	J		
142. LinkedIn Corp Put		None			Sold	12/16/11	J		
143.									
144. Research In Motion (RIMM) Puts		None			Buy	12/16/11	J		
145. Reasearch In Motion Puts		None			Sold	12/16/11	J	A	
146.									
147. IBM Put		None			Buy	12/16/11	J		
148. IBM Put		None			Sold	12/16/11	J	A	
149.									
150. Allied Nevada Gold (ANV) Put		None			Buy	12/16/11	J		
151. ANV Put		None			Sold	12/16/11	J		
152.									
153. REAL ESTATE INVESTMENTS									

1. Income Gain Codes: (See Columns B1 and D4)	A = \$1,000 or less F = \$50,001 - \$100,000 J = \$15,000 or less N = \$250,001 - \$500,000 P3 = \$25,000,001 - \$50,000,000	B = \$1,001 - \$2,500 G = \$100,001 - \$1,000,000 K = \$15,001 - \$50,000 O = \$500,001 - \$1,000,000	C = \$2,501 - \$5,000 H1 = \$1,000,001 - \$5,000,000 L = \$50,001 - \$100,000 P1 = \$1,000,001 - \$5,000,000 P4 = More than \$50,000,000	D = \$5,001 - \$15,000 H2 = More than \$5,000,000 M = \$100,001 - \$250,000 P2 = \$5,000,001 - \$25,000,000	E = \$15,001 - \$50,000
2. Value Codes (See Columns C1 and D3)	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)
154. Rental Property No. 1 Davidson County, TN	E	Rent	N	W					
155.									
156. TD AMERITRADE IRA [REDACTED] Amerivest Account (Note 1)	A	Int./Div.	J	T	Sold (part)	9/20/11	J		
157.									
158. TD AMERITRADE IRA [REDACTED]									
159.									
160. Money Market (Note 1)	A	Interest	L	T					
161.									
162. AT&T Inc	A	Int./Div.	J	T					
163. AT&T					Sold (part)	7/11/11	J	A	
164.									
165. Verizon Communications (VZ)	A	Int./Div.	J	T					
166. VZ					Sold (part)	7/11/11	J	A	
167.									
168. Coca Cola Co (KO)	A	Dividend	J	T					
169. KO					Buy (add'l)	5/11/11	J		
170.									

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)
171. Johnson & Johnson Com	A	Dividend	J	T					
172.									
173. McDonalds Corp (MCD)	A	Dividend	J	T					
174. MCD					Buy (add'l)	5/11/11	J		
175.									
176. Nordic Amer Tanker (NAT)	A	Dividend	J	T	Sold (part)	4/12/11	J		
177. NAT					Sold (part)	8/04/11	J		
178. NAT					Sold (part)	10/03/11	J		
179.									
180. Dupont El DeMemours (DD)	A	Dividend	J	T	Sold (part)	4/12/11	J	A	
181. DD					Sold (part)	7/11/11	J		
182. DD					Sold (part)	10/3/11	J		
183. DD					Buy (add'l)	10/24/11	J		
184.									
185. Kinder Morgan Energy (KMP)	A	Distribution	J	T					
186.									
187. Health Care Reit Inc (HCN)	A	Dividend	J	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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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)

188.									
189. SPXU (Short S&P ETF)		None			Buy	2/14/11	J		
190. SPXU		None			Buy (add'l)	2/15/11	J		
191. SPXU		None			Sold (part)	3/15/11	J	A	
192. SPXU		None			Sold (part)	3/16/11	J	A	
193. SPXU		None			Sold (part)	3/21/11	J	A	
194. SPXU		None			Sold (part)	5/02/11	J		
195. SPXU		None			Sold	5/10/11	J		
196.									
197. BARZ		None			Buy	3/31/11	J		
198. BARZ		None			Buy (add'l)	4/6/11	J		
199. BARZ		None			Buy (add'l)	4/7/11	J		
200. BARZ		None			Buy (add'l)	4/8/11	J		
201. BARZ		None			Sold (part)	4/12/11	J		
202. BARZ		None			Sold (part)	4/13/11	J		
203. BARZ		None			Sold	5/06/11	J		
204.									

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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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)
205. SLV (Silver ETF)		None			Buy	4/08/11	J		
206. SLV		None			Buy (add'l)	4/18/11	J		
207. SLV		None			Sold (part)	4/27/11	J	A	
208. SLV		None			Sold	5/04/11	J		
209.									
210. XLF (Financial ETF) Put		None			Buy	7/11/11	J		
211. XLF Put		None			Sold (part)	8/11/11	J	A	
212. XLF Put		None			Sold	8/12/11	J	A	
213.									
214. SLV Call		None			Buy	5/02/11	J		
215. SLV Call		None			Sold	5/04/11	J		
216.									
217. AWK (American Water Works Co)	A	Dividend	J	T	Buy	5/11/11	J		
218. AWK					Sold (part)	7/11/11	J		
219.									
220. Gold ETF (GLD)		None			Buy	7/14/11	J		
221. GLD		None			Sold (part)	8/24/11	J	A	

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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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)
222. GLD		None			Sold	9/22/11	J	A	
223.									
224. Apple Computer (AAPL)		None	K	T	Buy	7/27/11	J		
225. AAPL		None			Buy (add'l)	9/23/11	J		
226. AAPL		None			Buy (add'l)	9/26/11	J		
227. AAPL		None			Sold (part)	10/17/11	J	A	
228. AAPL		None			Sold (part)	10/18/11	J	A	
229. AAPL		None			Buy (add'l)	10/24/11	J		
230. AAPL		None	K	T	Buy (add'l)	10/26/11	J		
231.									
232. Southern Copper Co (SCCO)	A	Dividend	J	T	Buy	8/29/11	J		
233. SCCO					Sold (part)	9/21/11	J		
234. SCCO					Sold (part)	9/22/11	J		
235. SCCO					Buy (add'l)	10/24/11	J		
236. SCCO			J	T	Buy (add'l)	12/23/11	J		
237.									
238. Spectra Energy Partners (SEP)		None	J	T	Buy	8/29/11	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		
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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		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)

239. SEP		None			Buy (add'l)	10/24/11	J		
240.									
241. SPY (DOW ETF) Put		None			Buy	10/11/11	J		
242. SPY Put		None			Buy (add'l)	10/17/11	J		
243. SPY Put		None			Buy	11/09/11	J		
244. SPY Put		None			Sold (part)	10/24/11	J		
245. SPY Put		None			Sold (part)	10/24/11	J		
246. SPY Put		None			Sold	11/11/11	J		
247. SPY Put		None			Buy	11/23/11	J		
248. SPY Put		None			Sold	12/14/11	J		
249.									
250. FedEx (FDX)		None	J	T	Buy	10/24/11	J		
251.									
252. Nordstrom (JWN)	A	Dividend	J	T	Buy	10/26/11	J		
253.									
254. General Electric (GE)		None	J	T	Buy	12/07/11	J		
255. GE		None			Buy (add'l)	12/12/11	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	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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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)

256.									
257. ELI Lilly (LLY)		None	J	T	Buy	12/12/11	J		
258.									
259. Salesforce.Com (CRM) Put		None			Buy	10/26/11	J		
260. CRM Put		None			Sold	10/27/11	J		
261. CRM Put		None			Buy	10/31/11	J		
262. CRM Put		None			Sold	10/31/11	J	A	
263.									
264. TD AMERITRADE Roth IRA									
265. Money Market	A	Interest	J	T	Sold (part)	9/20/11	J		
266.									
267. Silver ETF (SLV)		None			Buy	4/08/11	J		
268. SLV		None			Sold	5/05/11	J		
269.									
270. Souther Copper (SCCO)		None	J	T	Buy	8/29/11	J		
271. SCCO		None			Sold (part)	9/22/11	J		
272.									

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)

273. Spectra Energy Partners (SEP)		None	J	T	Buy	8/29/11	J		
274.									
275. TD AMERITRADE IRA Amerivest Account (See note 1)	A	Int./Div.	J	T	Sold (part)	9/20/11	J		
276.									
277.									
278. TD AMERITRADE IRA									
279. Money Market	A	Int./Div.	K	T					
280.									
281. AT&T Inc	A	Dividend	J	T					
282.									
283. Coca Cola (KO)	A	Dividend	K	T					
284. KO					Buy (add'l)	4/21/11	J		
285. KO					Buy (add'l)	5/03/11	J		
286. KO					Buy (add'l)	8/04/11	J		
287. KO					Buy (add'l)	8/24/11	J		
288.									
289. Silver ETF (SLV)		None			Buy	4/08/11	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	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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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)

290. SLV		None			Buy (add'l)	4/18/11	J		
291. SLV		None			Buy (add'l)	4/21/11	J		
292. SLV		None			Sold (part)	4/27/11	J		
293. SLV		None			Sold (part)	5/04/11	J		
294. SLV		None			Buy (add'l)	5/10/11	J		
295. SLV		None			Sold	5/17/11	J		
296.									
297. Apple Computer (AAPL)		None	K	T	Buy	4/21/11	J		
298. AAPL		None			Sold (part)	7/11/11	J	A	
299. AAPL		None			Buy	7/26/11	J		
300. AAPL		None			Buy (add'l)	8/03/11	J		
301. AAPL		None			Buy (add'l)	8/11/11	J		
302. AAPL		None			Buy (add'l)	8/24/11	J		
303. AAPL		None			Buy (add'l)	9/26/11	J		
304. AAPL		None			Sold (part)	10/17/11	J	A	
305. AAPL		None			Sold (part)	10/18/11	J	A	
306. AAPL		None			Buy (add'l)	10/24/11	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	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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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)
307. AAPL		None			Buy (add'l)	10/26/11	J		
308. AAPL		None			Buy (add'l)	11/01/11	J		
309. AAPL		None			Buy (add'l)	11/10/11	J		
310. AAPL		None			Sold (part)	12/02/11	J		
311.									
312. Dupont (DD)	A	Dividend	J	T	Buy	4/21/11	J		
313. DD					Sold (part)	8/04/11	J		
314. DD					Buy (add'l)	8/15/11	J		
315. DD					Sold (part)	9/12/11	J		
316. DD					Sold (part)	10/03/11	J		
317. DD					Buy (add'l)	10/26/11	J		
318. DD					Buy (add'l)	10/27/11	J		
319.									
320. McDonalds (MCD)	A	Dividend	J	T	Buy	5/02/11	J		
321. MCD					Buy (add'l)	5/04/11	J		
322.									
323. Gold ETF (GLD)		None	J	T	Buy	5/03/11	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	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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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)

324. GLD		None			Buy (add'l)	7/14/11	J		
325. GLD		None			Sold (part)	8/04/11	J		
326. GLD		None			Buy (add'l)	8/09/11	J		
327. GLD		None			Sold (part)	8/12/11	J		
328. GLD		None			Buy (add'l)	8/16/11	J		
329. GLD		None			Buy (add'l)	8/18/11	J		
330. GLD		None			Buy (add'l)	8/23/11	J		
331. GLD		None			Sold (part)	8/24/11	J		
332. GLD		None			Sold (part)	8/24/11	J		
333. GLD		None			Buy (add'l)	9/06/11	J		
334. GLD		None			Buy (add'l)	9/22/11	J		
335. GLD		None			Sold (part)	9/22/11	J		
336. GLD		None			Buy (add'l)	10/25/11	J		
337. GLD		None			Sold (part)	12/14/11	J		
338.									
339. Caterpillar Corp (CAT)	A	Dividend	J	T	Buy	5/04/11	J		
340. CAT					Sold (part)	6/01/11	J		

1. Income Gain Codes: (See Columns B1 and D4)	A = \$1,000 or less F = \$50,001 - \$100,000 J = \$15,000 or less N = \$250,001 - \$500,000 P3 = \$25,000,001 - \$50,000,000	B = \$1,001 - \$2,500 G = \$100,001 - \$1,000,000 K = \$15,001 - \$50,000 O = \$500,001 - \$1,000,000	C = \$2,501 - \$5,000 H1 = \$1,000,001 - \$5,000,000 L = \$50,001 - \$100,000 P1 = \$1,000,001 - \$5,000,000 P4 = More than \$50,000,000	D = \$5,001 - \$15,000 H2 = More than \$5,000,000 M = \$100,001 - \$250,000 P2 = \$5,000,001 - \$25,000,000	E = \$15,001 - \$50,000
2. Value Codes (See Columns C1 and D3)	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)

341. CAT					Sold (part)	6/16/11	J		
342. CAT					Sold (part)	9/12/11	J		
343. CAT					Buy (add'l)	10/24/11	J		
344. CAT					Buy (add'l)	10/26/11	J		
345.									
346. Yum Brands Inc (YUM)	A	Dividend	J	T	Buy	5/09/11	J		
347. YUM					Sold (part)	9/12/11	J		
348.									
349. American Water Works (AWK)	A	Dividend	J	T	Buy	5/09/11	J		
350.									
351. Net Flix (NFLX)		None			Buy	5/10/11	J		
352. NFLX		None			Sold (part)	7/11/11	J		
353. NFLX		None			Sold (part)	9/12/11	J		
354. NFLX		None			Sold	9/16/11	J		
355.									
356. Limited Brands Inc (LTD)	A	Dividend	J	T	Buy	5/11/11	J		
357. LTD					Sold (part)	7/11/11	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	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)
358. LTD					Sold (part)	9/12/11	J		
359. LTD					Buy (add'l)	9/26/11	J		
360.									
361. CSX Corp (CSX)	A	Dividend	J	T	Buy	5/11/11	J		
362. CSX					Sold (part)	8/18/11	J		
363. CSX					Sold (part)	9/12/11	J		
364. CSX					Sold (part)	9/21/11	J		
365. CSX					Buy (add'l)	10/24/11	J		
366.									
367. Nasdaq ETF (QQQ)	A	Dividend	J	T	Buy	5/11/11	J		
368. QQQ					Sold (part)	7/11/11	J		
369. QQQ					Sold (part)	8/18/11	J		
370.									
371. Dow Industrial ETF (DIA)	A	Dividend	J	T	Buy	5/11/11	J		
372. DIA					Sold (part)	8/08/11	J		
373.									
374. S&P 500 ETF (SPY)	A	Dividend	J	T	Buy	5/11/11	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	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)
375. SPY					Sold (part)	8/08/11	J		
376.									
377. NetApp (NTAP)		None			Buy	7/14/11	J		
378. NTAP		None			Sold (part)	8/08/11	J		
379. NTAP		None			Sold (part)	8/18/11	J		
380. NTAP		None			Sold	9/12/11	J		
381.									
382. Google (GOOG)		None	J	T	Buy	7/25/11	J		
383. GOOG		None			Sold (part)	8/18/11	J		
384.									
385. Norstroms (JWN)	A	Dividend	J	T	Buy	8/12/11	J		
386. JWN					Buy (add'l)	10/24/11	J		
387.									
388. Bristol Myers Squibb (BMY)	A	Dividend	J	T	Buy	8/12/11	J		
389. BMY					Buy (add'l)	12/22/11	J		
390.									
391. Conoco Phillips Corp (COP)	A	Dividend	J	T	Buy	8/15/11	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	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.)
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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)
392.									
393. QualComm Inc (QCOM)	A	Dividend	J	T	Buy	8/23/11	J		
394. QCOM					Buy (add'l)	8/24/11	J		
395.									
396. Spectra Energy Partners (SEP)	A	Distribution	J	T	Buy	8/29/11	J		
397. SEP					Buy (add'l)	9/06/11	J		
398. SEP					Buy (add'l)	10/24/11	J		
399.									
400. Southern Copper Corp (SCCO)	A	Dividend	J	T	Buy	9/01/11	J		
401. SCCO					Sold (part)	9/20/11	J		
402. SCCO					Sold (part)	9/21/11	J		
403. SCCO					Sold (part)	9/22/11	J		
404. SCCO					Buy (add'l)	10/24/11	J		
405. SCCO					Buy (add'l)	10/26/11	J		
406.									
407. FedEx (FDX)		None	J	T	Buy	10/24/11	J		
408.									

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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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)
409. General Electric (GE)		None	J	T	Buy	12/07/11	J		
410. GE		None			Buy (add'l)	12/12/11	J		
411.									
412. Eli Lilly (LLY)		None	J	T	Buy	12/21/11	J		
413.									
414. SPY Puts		None			Buy	5/23/11	J		
415. SPY Puts		None			Buy (add'l)	6/01/11	J		
416. SPY Puts		None			Buy (add'l)	6/2/11	J		
417. SPY Puts		None			Buy (add'l)	6/08/11	J		
418. SPY Puts		None			Buy (add'l)	6/10/11	J		
419. SPY Puts		None			Sold (part)	6/13/11	J		
420. SPY Puts		None			Buy (add'l)	6/16/11	J		
421. SPY Puts		None			Sold (part)	7/15/11	J		
422. SPY Puts		None			Sold (part)	7/19/11	J		
423. SPY Puts		None			Sold (part)	7/29/11	J		
424. SPY Puts		None			Sold (part)	8/01/11	J		
425. SPY Puts		None			Sold	8/3/11	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

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Name of Person Reporting

Griffin, Juliet E.

Date of Report

7/9/2012

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) 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)
426. SPY Puts		None			Buy	10/11/11	J		
427. SPY Puts		None			Buy (add'l)	10/17/11	J		
428. SPY Puts		None			Sold	10/24/11	J		
429. SPY Puts		None			Buy	11/09/11	J		
430. SPY Puts		None			Sold	11/11/11	J		
431. SPY Puts		None			Buy	11/21/11	J		
432. SPY Puts		None			Sold	12/15/11	J		
433.									
434.									
435. Salesforce.com (CRM) Put		None			Buy	10/26/11	J		
436. CRM Put		None			Sold	10/27/11	J		
437. CRM Put		None			Buy	10/31/11	J		
438. CRM Put		None			Sold	11/01/11	J	A	
439.									
440.									
441. TD AMERITRADE Roth IRA									
442. Money Market	A	Interest	J	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 \$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	

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 I (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)

443. Silver ETF (SLV)					Buy	4/08/11	J		
444. SLV					Sold	5/05/11	J		
445.									
446. American Water Company (AWK)	A	Dividend	J	T	Buy	5/10/11	J		
447. AWK					Sold (part)	8/02/11	J		
448. AWK					Sold (part)	8/29/11	J		
449.									
450. North American Tanker (NAT)	A	Dividend	J	T	Buy	5/10/11	J		
451. NAT					Sold (part)	8/02/11	J		
452. NAT					Sold (part)	8/18/11	J		
453. NAT					Sold (part)	8/29/11	J		
454.									
455. Apple Computer Co (AAPL)			J	T	Buy	8/04/11	J		
456. AAPL					Buy (add'l)	9/26/11	J		
457.									
458. Southern Copper Company (SCCO)	A	Dividend	J	T	Buy	8/29/11	J		
459. SCCO					Sold (part)	9/20/11	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	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	

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)

460.									
461. Spectra Energy Partners (SEP)	A	Distribution	J	T	Buy	8/29/11	J		
462.									
463.									
464.									
465.									
466.									
467.									
468.									
469.									
470.									
471.									

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

Griffin, Juliet E.

Date of Report

7/9/2012

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

Note 1: In this IRA account, there was a part of the account in a Cash Money Market in prior years and it should have been included in those reports. It was added here to reflect this, as is show in the other IRA accounts.

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/ Juliet E. Griffin**

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