

FINANCIAL DISCLOSURE REPORT FOR CALENDAR YEAR 2014

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) MULLEN, GRAHAM C.	2. Court or Organization WESTERN DISTRICT OF N.C.	3. Date of Report 07/28/2015
4. Title (Article III judges indicate active or senior status; magistrate judges indicate full- or part-time) U.S. DISTRICT JUDGE - SENIOR	5a. Report Type (check appropriate type) ☐ Nomination ☐ Date ☐ Initial ☒ Annual ☐ Final 5b. ☐ Amended Report	6. Reporting Period 01/01/2014 to 12/31/2014
7. Chambers or Office Address 230 CHARLES R. JONAS BUILDING 401 WEST TRADE STREET CHARLOTTE, NC 28202		
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 pp. 9-13 of filing instructions.)

☐ NONE (No reportable positions.)

<u>POSITION</u>	<u>NAME OF ORGANIZATION/ENTITY</u>
1. Honorary Life Member	Duke University Law School Board of Visitors
2. Member HOA Board	Royal Crest Home Owners (Term expired 12/31/2104, Will not report for 2015.)
3.	
4.	
5.	

II. AGREEMENTS. (Reporting individual only; see pp. 14-16 of filing instructions.)

☒ NONE (No reportable agreements.)

<u>DATE</u>	<u>PARTIES AND TERMS</u>
1.	
2.	
3.	

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Name of Person Reporting

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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.)*

	SOURCE	DESCRIPTION	VALUE
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.)*

	CREDITOR	DESCRIPTION	VALUE CODE
1.	American Express	Gold Card	J
2.			
3.			
4.			
5.			

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MULLEN, GRAHAM C.

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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. BRANCH BANK & TRUST CO. (Bank Accounts)	A	Interest	M	T					
2.									
3. Smith Barney Money Market Fund (See explanation)	C	Int./Div.	K	T					
4.									
5. Smith Barney Money Market Fund (See explanation)	A	Dividend	J	T					
6.									
7. Central Fund - Canada	A	Dividend	K	T					
8.									
9. Intel Corp.	A	Dividend	J	T					
10.									
11. Merck & Co.	A	Dividend	J	T					
12.									
13. Proctor & Gamble	A	Dividend	J	T					
14.									
15. General Electric	A	Dividend	J	T					
16.									
17. Chart Indus		None			Sold	10/06/14	J	B	

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 = \$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 = \$250,000,001 - \$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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18.									
19. TEVA Pharmaceuticals	A	Dividend	J	T					
20.									
21. Permanent Portfolio (See Self Initiated Amendment 2012)	A	Dividend	J	T					
22.									
23. Apple	A	Dividend	J	T	Buy	06/10/14	J		
24.									
25. Goldman Sachs Rising Div	A	Dividend	J	T	Buy	09/04/14	J		
26.									
27. IRA (See explanation)	B	Dividend	K	T					
28. -- Loomis Sayles Funds IT Strategic Inc. Fund					Sold (part)	04/11/14	J		
29.					Sold (part)	08/21/14	J		
30.					Sold (part)	11/13/14	J		
31.									
32. -- Oppenheimer Int'l Bond Fund					Sold (part)	08/21/14	J		
33.					Sold (part)	11/13/14	J		
34.									

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35. -- Oppenheimer Int'l Small Co Fund					Sold (part)	11/10/14	J		
36.									
37. -- Satuit Cap Micro Cap Fund					Sold (part)	01/10/14	J		
38.					Sold (part)	08/21/14	J		
39.									
40. -- Oppenheimer Gold & Sp. Minerals					Sold (part)	04/11/14	J		
41.					Sold (part)	07/11/14	J		
42.					Sold (part)	08/21/14	J		
43.					Buy (add'l)	08/22/14	J		
44.									
45. -- Fidelity Advisor SPR 1 Leveraged Co Hb Fund					Buy (add'l)	08/22/14	J		
46.									
47. -- Permanent Portfolio Fd					Sold (part)	08/22/14	J		
48.									
49. -- Blackrock Global Allocation									
50.									
51. -- Columbia Select Large Cap Growth Fd					Sold (part)	08/21/14	J		

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52.					Sold (part)	11/13/14	J		
53.									
54. -- Delaware Pooled TR Diversified Inc Fd					Sold (part)	04/11/14	J		
55.					Sold (part)	08/21/14	J		
56.					Sold (part)	10/10/14	J		
57.					Sold (part)	11/13/14	J		
58.									
59. -- First Eagle Fds Global Fd					Sold (part)	08/21/14	J		
60.									
61. -- Yacktman Fd					Sold (part)	08/21/14	J		
62.					Sold (part)	11/13/14	J		
63.									
64. -- Pimco Fds - Total Return Fd					Sold (part)	08/21/14	J		
65.					Sold (part)	11/13/14	J		
66.									
67. -- Pimco AllAsset AllAuthority									
68.									

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69. -- Royce Premier Fd					Sold (part)	08/21/14	J		
70.									
71. -- Templeton Fds - TR Global Bd Advisor					Sold (part)	08/21/14	J		
72.					Sold (part)	11/13/14	J		
73.									
74. -- MFS - Int'l New Discovery Fd									
75.									
76. -- JP Morgan Core Bond FD Select					Sold (part)	08/21/14	J		
77.					Sold (part)	10/10/14	J		
78.									
79. -- Neuberger Berman Income New Strategic Fd					Sold (part)	08/21/14	J		
80.					Sold (part)	11/13/14	J		
81.									
82.									
83. John Hancock Fds II Strategic Income Oppty					Buy	08/21/14	J		
84.					Buy (add'l)	08/22/14	J		
85.					Sold (part)	11/13/14	J		

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86.									
87. Paxworld FDS SER TRI-PRXIX					Buy	08/21/14	J		
88.									
89. Putnam FDS TR Capital Spectrum FD PVSIX					Buy	08/21/14	J		
90.					Sold (part)	11/13/14	J		
91.									
92. Undiscovered Mgr Behavioral Val UBVLX					Buy	08/21/14	J		
93.					Sold (part)	11/13/14	J		
94.									
95.									
96. Hondo Minerals Corp (See Explanation)									
97.									
98. ISORAY		None	J	T					
99.									
100. Mosaic	A	Dividend	J	T					
101.									
102.									

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103.									
104. NORTHWESTERN MUTUAL (NML) INSURANCE POLICIES									
105. -- Whole Life XXX113	B	Dividend	K	T					
106.									
107. -- NML Whole Life XXX188	A	Dividend	K	T					
108.									
109. -- NML Whole Life XXX510	B	Dividend	K	T					
110.									
111. -- NML Whole Life XXX698	B	Dividend	K	T					
112.									
113. -- NML Extraord. Life 403	B	Dividend	K	T					
114.									
115. -- NML Adjustable Comp XXX100	C	Dividend	K	T					
116.									
117. -- NML 65 Life 913	A	Dividend	J	T					
118.									
119. -- NML 65 Life 473	A	Dividend	J	T					

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120.									
121. -- NML Whole Life 437	A	Dividend	J	T					
122.									
123. -- NML Whole Life 800		None	J	T					
124.									
125.									
126.									
127.									
128. Select SPDR Energy	A	Dividend			Sold	10/13/14	J	C	
129.									
130. Prudent Bear Fund		None			Sold	02/26/14	J	A	
131.									
132. Click Software Tech.		None			Sold	05/20/14	J	A	
133.									
134. Chart Indus		None	J	T					
135.									
136. Nanoviricides		None	J	T					

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137.									
138. Neural Stem Inc.		None	J	T					
139.									
140. International Stem Cell Corp.		None	J	T					
141.									
142. Galectin Therapeutics		None	J	T					
143.									
144. Brigus Gold		None	J	T					
145.									
146. Inovio Pharmaceuticals					Buy (add'l)	04/07/14	J		
147.					Buy (add'l)	05/29/14	J		
148.					Sold (part)	06/11/14	J	A	
149.					Sold	06/17/14	J	A	
150. Argentex Mining (See Explanation)									
151.									
152. Mast Therapeutics		None	J	T	Buy (add'l)	02/07/14	J		
153.									

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

MULLEN, GRAHAM C.

Date of Report

07/28/2015

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. Alliance Grain Traders		None	J	T					
155.									
156. Clearbridge Energy (EMO)	A	Dividend	J	T					
157.									
158. Parkway Properties, formerly Thomas PPTY GRP		None	J	T					
159.									
160. Star Scientific (See Line 214)									
161.									
162.									
163.									
164. Akebia Therapeutics		None			Buy	05/29/14	J		
165.					Sold	08/20/14	J	A	
166.									
167. Durata Therapeutics		None			Buy	08/18/14	J		
168.					Sold	10/08/14	J	B	
169.									
170. Fortegra Financial Corp.		None			Buy	04/28/14	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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MULLEN, GRAHAM C.

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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.					Sold	08/18/14	J	A	
172.									
173. Starz		None			Buy	02/07/14	J		
174.					Sold	10/01/14	J	A	
175.									
176.									
177. Blackstone Group	A	Dividend	J	T	Buy	03/28/14	J		
178.									
179. Twitter		None	J	T	Buy	08/18/14	J		
180.					Buy (add'l)	09/10/14	J		
181.									
182. Iconix Brand		None	J	T	Buy	09/10/14	J		
183.									
184. Alexza Pharm		None	J	T	Buy	08/18/14	J		
185.									
186. Clearbridge Ener MLP	A	Dividend	J	T					
187.									

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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MULLEN, GRAHAM C.

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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. US Global Inv	A	Dividend	J	T					
189.									
190. Brocade Comm	A	Dividend	J	T					
191.									
192. Douglas Dynamics		None	J	T					
193.									
194. Capital Sr. Living	A	Dividend	J	T					
195.									
196. First Trust MLP	A	Dividend	J	T					
197.									
198. Freeport McMoran	A	Dividend	J	T					
199.									
200. Northfield Bank	A	Dividend	J	T					
201.									
202. Oculusinnovi Sciences		None	J	T					
203.									
204. NOTE FOR LINES 186-202 SEE 2013 AMENDMENT									

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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MULLEN, GRAHAM C.

Date of Report

07/28/2015

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.									
206. Anthera Pharm		None	J	T	Buy	06/03/14	J		
207.									
208. Brocade Comm (See 2010 Amend)	A	Dividend	J	T					
209.									
210. Silver Wheaton	A	Dividend	J	T	Buy	03/14/14	J		
211.									
212. Douglas Dynamics		None			Sold	02/26/14	J	A	
213.									
214. Rock Creek Pharm. (See Explanation.)		None			Sold	10/01/14	J	A	
215.									
216.									
217.									
218.									
219.									
220.									
221.									

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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MULLEN, GRAHAM C.

Date of Report

07/28/2015

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. SELF INITIATED AMENDMENT FOR 2010									
223. Brocade Comm BRCD			J	T	Buy	02/28/10	J		
224.					Buy (add'l)	05/15/10	J		
225. No records exist on exact date additional purchase of BRCD.									
226. Broker retired and statements lost.									
227.									
228.									
229.									
230.									
231.									
232.									
233.									
234.									
235.									
236.									
237.									
238.									

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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MULLEN, GRAHAM C.

Date of Report

07/28/2015

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)

239. SELF INITIATED AMENDMENT FOR 2011									
240. US Global Inves	A	Dividend	J	T	Buy	10/19/11	J		
241.									
242. Brocade Comm BRCD		None	J	T					
243.									
244. Douglas Dynamics		None	J	T	Buy	05/09/11	J		
245.									
246.									
247.									
248.									
249.									
250.									
251.									
252.									
253.									
254.									
255.									

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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Date of Report

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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)

256. SELF INITIATED AMENDMENT FOR 2012									
257. Clearbridge Ener MLP	A	Dividend	J	T	Buy	03/20/12	J		
258.					Buy (add'l)	04/30/12	J		
259.									
260. US Global Inv	A	Dividend	J	T					
261.									
262. Brocade Comm		None	J	T					
263.									
264. Douglas Dynamics		None	J	T					
265.									
266. Permanent Portfolio	A	Dividend	J	T	Buy	06/28/12	J		
267.									
268.									
269.									
270.									
271.									
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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MULLEN, GRAHAM C.

Date of Report

07/28/2015

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. SELF INITIATED AMENDMENT FOR 2013									
274. Clearbridge Ener MLP	A	Dividend	J	T					
275.									
276. US Global Inv	A	Dividend	J	T					
277.									
278. Brocade Comm		None	J	T					
279.									
280. Douglas Dynamics		None	J	T					
281.									
282. Permanent Portfolio	A	Dividend	J	T					
283.									
284. Capital SR Living	A	Dividend	J	T	Buy	11/07/13	J		
285. First Trust MLP	A	Dividend	J	T	Buy	05/14/13	J		
286. Freeport McMoran	A	Dividend	J	T	Buy	09/17/13	J		
287. Northfield Bank	A	Dividend	J	T	Buy	03/18/13	J		
288. Oculus Innovative Sciences		None	J	T	Buy	04/18/13	J		
289.									

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

EXPLANATION OF LINE ITEMS CONTAINED IN PART VII.

Lines 3 and 5 - Smith Barney Money Market fund includes deposits in that fund which the broker has moved into their Bank Deposit program.

Line 27 - The IRA was established from my Thrift Savings Plan, all capital gains and dividends are re-invested. Periodically, small numbers of shares are sold to pay the trustee's fees. These are reported. This income is aggregated and not reported for each separate fund.

Line 96 - Hondo Minerals - Value has dropped below reportable amount.

Line 150 - Argentix Mining - Value has dropped below reportable amount.

Lines 160 and 214 - Star Scientific changed its name to Rock Creek. See Line 138 of 2013 Report.

Lines 186 thru 202. See Self-Initiated Amendment to the 2013 Report

Line 222 - SELF-INITIATED AMENDMENT TO THE 2010 REPORT

Line 239 - SELF-INITIATED AMENDMENT TO THE 2011 REPORT

Line 273 - SELF-INITIATED AMENDMENT TO THE 2012 REPORT

Line 290 - SELF-INITIATED AMENDMENT TO THE 2013 REPORT

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MULLEN, GRAHAM C.

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

Signature: **S/ GRAHAM C. MULLEN**

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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One Columbus Circle, N.E.
Washington, D.C. 20544