

# FINANCIAL DISCLOSURE REPORT FOR CALENDAR YEAR 2011

Report Required by the Ethics  
in Government Act of 1978  
(5 U.S.C. app. §§ 101-111)

|                                                                                                                                                                                                                                  |                                                                                                                                                                                                                                                                                                     |                                                                  |
|----------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|-----------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|------------------------------------------------------------------|
| <b>1. Person Reporting</b> (last name, first, middle initial)<br><br>MULLEN, GRAHAM C.                                                                                                                                           | <b>2. Court or Organization</b><br><br>WESTERN DISTRICT OF N.C.                                                                                                                                                                                                                                     | <b>3. Date of Report</b><br><br>10/18/2012                       |
| <b>4. Title</b> (Article III judges indicate active or senior status; magistrate judges indicate full- or part-time)<br><br>U.S. DISTRICT JUDGE - SENIOR                                                                         | <b>5a. Report Type</b> (check appropriate type)<br><input type="checkbox"/> Nomination <input type="checkbox"/> Date<br><input type="checkbox"/> Initial <input checked="" type="checkbox"/> Annual <input type="checkbox"/> Final<br><b>5b.</b> <input checked="" type="checkbox"/> Amended Report | <b>6. Reporting Period</b><br><br>01/01/2011<br>to<br>12/31/2011 |
| <b>7. Chambers or Office Address</b><br><br>230 CHARLES R. JONAS BUILDING<br>401 WEST TRADE STREET<br>CHARLOTTE, NC 28202                                                                                                        |                                                                                                                                                                                                                                                                                                     |                                                                  |
| <p><b>IMPORTANT NOTES:</b> The instructions accompanying this form must be followed. Complete all parts, checking the <b>NONE</b> box for each part where you have no reportable information. Insert signature on last page.</p> |                                                                                                                                                                                                                                                                                                     |                                                                  |

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

☐ NONE (No reportable positions.)

| <u>POSITION</u>           | <u>NAME OF ORGANIZATION/ENTITY</u>            |
|---------------------------|-----------------------------------------------|
| 1. Honorary Life Member   | Duke University Law School Board of Visitors  |
| 2. Member adjunct faculty | Department of Political Science UNC Charlotte |
| 3. Member HOA Board       | Royal Crest Home Owners                       |
| 4.                        |                                               |
| 5.                        |                                               |

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

☒ NONE (No reportable agreements.)

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

**FINANCIAL DISCLOSURE REPORT**

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Name of Person Reporting

MULLEN, GRAHAM C.

Date of Report

10/18/2012

**III. NON-INVESTMENT INCOME.** *(Reporting individual and spouse; see pp. 17-24 of filing instructions.)***A. Filer's Non-Investment Income**NONE *(No reportable non-investment income.)*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. \_\_\_\_\_

**FINANCIAL DISCLOSURE REPORT**

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Name of Person Reporting

MULLEN, GRAHAM C.

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**V. GIFTS.** *(Includes those to spouse and dependent children; see pp. 28-31 of filing instructions.)*NONE *(No reportable gifts.)*SOURCEDESCRIPTIONVALUE

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.)*CREDITORDESCRIPTIONVALUE CODE

1.

2.

3.

4.

5.

# FINANCIAL DISCLOSURE REPORT

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Name of Person Reporting

MULLEN, GRAHAM C.

Date of Report

10/18/2012

## 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.<br>Description of Assets<br>(including trust assets)<br><br>Place "(X)" after each asset<br>exempt from prior disclosure | B.<br>Income during<br>reporting period |                                               | C.<br>Gross value at end<br>of reporting period |                                           | D.<br>Transactions during reporting period      |                         |                                 |                                |                                                                   |
|-----------------------------------------------------------------------------------------------------------------------------|-----------------------------------------|-----------------------------------------------|-------------------------------------------------|-------------------------------------------|-------------------------------------------------|-------------------------|---------------------------------|--------------------------------|-------------------------------------------------------------------|
|                                                                                                                             | (1)<br>Amount<br>Code 1<br>(A-H)        | (2)<br>Type (e.g.,<br>div., rent,<br>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.,<br>buy, sell,<br>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) | (5)<br>Identity of<br>buyer/seller<br>(if private<br>transaction) |
| 1. BRANCH BANK & TRUST CO. (Bank Accounts)                                                                                  | A                                       | Interest                                      | K                                               | 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                                          | J                                               | T                                         |                                                 |                         |                                 |                                |                                                                   |

|                                                  |                                                                                        |                                                        |                                                                                          |                                                              |                         |
|--------------------------------------------------|----------------------------------------------------------------------------------------|--------------------------------------------------------|------------------------------------------------------------------------------------------|--------------------------------------------------------------|-------------------------|
| 1. Income Gain Codes:<br>(See Columns B1 and D4) | A = \$1,000 or less<br>F = \$50,001 - \$100,000                                        | B = \$1,001 - \$2,500<br>G = \$100,001 - \$1,000,000   | C = \$2,501 - \$5,000<br>H1 = \$1,000,001 - \$5,000,000                                  | D = \$5,001 - \$15,000<br>H2 = More than \$5,000,000         | E = \$15,001 - \$50,000 |
| 2. Value Codes<br>(See Columns C1 and D3)        | J = \$15,000 or less<br>N = \$250,001 - \$500,000<br>P3 = \$250,000,001 - \$50,000,000 | K = \$15,001 - \$50,000<br>O = \$500,001 - \$1,000,000 | L = \$50,001 - \$100,000<br>P1 = \$1,000,001 - \$5,000,000<br>P4 = More than \$5,000,000 | M = \$100,001 - \$250,000<br>P2 = \$5,000,001 - \$25,000,000 |                         |
| 3. Value Method Codes<br>(See Column C2)         | Q = Appraisal<br>U = Book Value                                                        | R = Cost (Real Estate Only)<br>V = Other               | S = Assessment<br>W = Estimated                                                          | T = Cash Market                                              |                         |

# FINANCIAL DISCLOSURE REPORT

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Name of Person Reporting

MULLEN, GRAHAM C.

Date of Report

10/18/2012

## 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.<br>Description of Assets<br>(including trust assets)<br><br>Place "(X)" after each asset<br>exempt from prior disclosure | B.<br>Income during<br>reporting period |                                               | C.<br>Gross value at end<br>of reporting period |                                           | D.<br>Transactions during reporting period      |                         |                                 |                                |                                                                   |
|-----------------------------------------------------------------------------------------------------------------------------|-----------------------------------------|-----------------------------------------------|-------------------------------------------------|-------------------------------------------|-------------------------------------------------|-------------------------|---------------------------------|--------------------------------|-------------------------------------------------------------------|
|                                                                                                                             | (1)<br>Amount<br>Code 1<br>(A-H)        | (2)<br>Type (e.g.,<br>div., rent,<br>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.,<br>buy, sell,<br>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) | (5)<br>Identity of<br>buyer/seller<br>(if private<br>transaction) |

|                                                      |   |          |   |   |                |          |   |  |  |
|------------------------------------------------------|---|----------|---|---|----------------|----------|---|--|--|
| 18.                                                  |   |          |   |   |                |          |   |  |  |
| 19.                                                  |   |          |   |   |                |          |   |  |  |
| 20.                                                  |   |          |   |   |                |          |   |  |  |
| 21. IRA (See explanation)                            | B | Dividend | K | T |                |          |   |  |  |
| 22. -- Blackrock Funds - Large Cap Value             |   |          |   |   | Sold           | 02/25/11 | J |  |  |
| 23.                                                  |   |          |   |   |                |          |   |  |  |
| 24. -- John Hancock - Large Cap Equity Fund          |   |          |   |   | Sold<br>(part) | 02/25/11 | J |  |  |
| 25.                                                  |   |          |   |   | Sold           | 11/02/11 | J |  |  |
| 26.                                                  |   |          |   |   |                |          |   |  |  |
| 27. -- Loomis Sayles Funds IT Strategic Inc.<br>Fund |   |          |   |   | Buy            | 02/28/11 | J |  |  |
| 28.                                                  |   |          |   |   | Sold<br>(part) | 07/08/11 | J |  |  |
| 29.                                                  |   |          |   |   | Sold<br>(part) | 10/04/11 | J |  |  |
| 30.                                                  |   |          |   |   | Sold<br>(part) | 11/02/11 | J |  |  |
| 31.                                                  |   |          |   |   |                |          |   |  |  |
| 32. -- MFS Resh Int'l Fund                           |   |          |   |   | Sold           | 02/25/11 | J |  |  |
| 33.                                                  |   |          |   |   |                |          |   |  |  |
| 34.                                                  |   |          |   |   |                |          |   |  |  |

|                         |                                  |                             |                                |                                 |                         |
|-------------------------|----------------------------------|-----------------------------|--------------------------------|---------------------------------|-------------------------|
| 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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Name of Person Reporting

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|                                                                                                                             | (1)<br>Amount<br>Code 1<br>(A-H)        | (2)<br>Type (e.g.,<br>div., rent,<br>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.,<br>buy, sell,<br>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) | (5)<br>Identity of<br>buyer/seller<br>(if private<br>transaction) |

|                                        |  |  |  |  |                |          |   |  |  |
|----------------------------------------|--|--|--|--|----------------|----------|---|--|--|
| 35. -- Oppenheimer Int'l Bond Fund     |  |  |  |  | Buy<br>(add'l) | 02/28/11 | J |  |  |
| 36.                                    |  |  |  |  | Buy<br>(add'l) | 11/03/11 | J |  |  |
| 37.                                    |  |  |  |  | Sold<br>(part) | 11/07/11 | J |  |  |
| 38.                                    |  |  |  |  |                |          |   |  |  |
| 39. -- Oppenheimer Int'l Small Co Fund |  |  |  |  | Sold<br>(part) | 01/12/11 | J |  |  |
| 40.                                    |  |  |  |  | Buy<br>(add'l) | 02/28/11 | J |  |  |
| 41.                                    |  |  |  |  | Sold<br>(part) | 11/02/11 | J |  |  |
| 42.                                    |  |  |  |  | Sold<br>(part) | 11/07/11 | J |  |  |
| 43.                                    |  |  |  |  |                |          |   |  |  |
| 44. -- Satuit Cap Micro Cap Fund       |  |  |  |  | Buy<br>(add'l) | 02/28/11 | J |  |  |
| 45.                                    |  |  |  |  | Sold<br>(part) | 11/02/11 | J |  |  |
| 46.                                    |  |  |  |  | Sold<br>(part) | 11/07/11 | J |  |  |
| 47.                                    |  |  |  |  |                |          |   |  |  |
| 48.                                    |  |  |  |  |                |          |   |  |  |
| 49. -- American Funds Gr. Fund         |  |  |  |  | Sold<br>(part) | 02/25/11 | J |  |  |
| 50.                                    |  |  |  |  | Sold           | 11/02/11 | J |  |  |
| 51.                                    |  |  |  |  |                |          |   |  |  |

|                                                  |                                                                                       |                                                        |                                                                                           |                                                              |                         |
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| 2. Value Codes<br>(See Columns C1 and D3)        | J = \$15,000 or less<br>N = \$250,001 - \$500,000<br>P3 = \$25,000,001 - \$50,000,000 | K = \$15,001 - \$50,000<br>O = \$500,001 - \$1,000,000 | L = \$50,001 - \$100,000<br>P1 = \$1,000,001 - \$5,000,000<br>P4 = More than \$50,000,000 | M = \$100,001 - \$250,000<br>P2 = \$5,000,001 - \$25,000,000 |                         |
| 3. Value Method Codes<br>(See Column C2)         | Q = Appraisal<br>U = Book Value                                                       | R = Cost (Real Estate Only)<br>V = Other               | S = Assessment<br>W = Estimated                                                           | T = Cash Market                                              |                         |

# FINANCIAL DISCLOSURE REPORT

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Name of Person Reporting

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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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|-----------------------------------------------------------------------------------------------------------------------------|-----------------------------------------|-----------------------------------------------|-------------------------------------------------|-------------------------------------------|-------------------------------------------------|-------------------------|---------------------------------|--------------------------------|-------------------------------------------------------------------|
|                                                                                                                             | (1)<br>Amount<br>Code 1<br>(A-H)        | (2)<br>Type (e.g.,<br>div., rent,<br>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.,<br>buy, sell,<br>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) | (5)<br>Identity of<br>buyer/seller<br>(if private<br>transaction) |
| 52. -- Keeley Funds Small Cap Value                                                                                         |                                         |                                               |                                                 |                                           | Sold                                            | 02/25/11                | J                               |                                |                                                                   |
| 53.                                                                                                                         |                                         |                                               |                                                 |                                           |                                                 |                         |                                 |                                |                                                                   |
| 54.                                                                                                                         |                                         |                                               |                                                 |                                           |                                                 |                         |                                 |                                |                                                                   |
| 55. -- Oppenheimer Gold & Sp. Minerals                                                                                      |                                         |                                               |                                                 |                                           | Sold                                            | 02/25/11                | J                               |                                |                                                                   |
| 56.                                                                                                                         |                                         |                                               |                                                 |                                           | Buy                                             | 02/28/11                | J                               |                                |                                                                   |
| 57.                                                                                                                         |                                         |                                               |                                                 |                                           | Sold<br>(part)                                  | 04/08/11                | J                               |                                |                                                                   |
| 58.                                                                                                                         |                                         |                                               |                                                 |                                           | Sold<br>(part)                                  | 11/07/11                | J                               |                                |                                                                   |
| 59.                                                                                                                         |                                         |                                               |                                                 |                                           |                                                 |                         |                                 |                                |                                                                   |
| 60. -- Fidelity Advisor SPR 1 Leveraged Co Hb Fund                                                                          |                                         |                                               |                                                 |                                           | Sold<br>(part)                                  | 02/25/11                | J                               |                                |                                                                   |
| 61.                                                                                                                         |                                         |                                               |                                                 |                                           | Sold<br>(part)                                  | 11/02/11                | J                               |                                |                                                                   |
| 62.                                                                                                                         |                                         |                                               |                                                 |                                           | Sold<br>(part)                                  | 11/07/11                | J                               |                                |                                                                   |
| 63.                                                                                                                         |                                         |                                               |                                                 |                                           |                                                 |                         |                                 |                                |                                                                   |
| 64. -- Permanent Portfolio Fd                                                                                               |                                         |                                               |                                                 |                                           | Sold<br>(part)                                  | 02/25/11                | J                               |                                |                                                                   |
| 65.                                                                                                                         |                                         |                                               |                                                 |                                           |                                                 |                         |                                 |                                |                                                                   |
| 66. -- Blackrock Global Allocation                                                                                          |                                         |                                               |                                                 |                                           | Buy                                             | 02/28/11                | J                               |                                |                                                                   |
| 67.                                                                                                                         |                                         |                                               |                                                 |                                           | Sold<br>(part)                                  | 11/02/11                | J                               |                                |                                                                   |
| 68.                                                                                                                         |                                         |                                               |                                                 |                                           | Sold<br>(part)                                  | 11/07/11                | J                               |                                |                                                                   |

|                                                  |                                                                                       |                                                        |                                                                                           |                                                              |                         |
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| 1. Income Gain Codes:<br>(See Columns B1 and D4) | A = \$1,000 or less<br>F = \$50,001 - \$100,000                                       | B = \$1,001 - \$2,500<br>G = \$100,001 - \$1,000,000   | C = \$2,501 - \$5,000<br>H1 = \$1,000,001 - \$5,000,000                                   | D = \$5,001 - \$15,000<br>H2 = More than \$5,000,000         | E = \$15,001 - \$50,000 |
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|     |                                          |  |  |  |                |          |   |  |  |
|-----|------------------------------------------|--|--|--|----------------|----------|---|--|--|
| 69. |                                          |  |  |  |                |          |   |  |  |
| 70. | -- Columbia Select Large Cap Growth Fd   |  |  |  | Buy            | 11/03/11 | J |  |  |
| 71. |                                          |  |  |  | Sold<br>(part) | 11/07/11 | J |  |  |
| 72. |                                          |  |  |  |                |          |   |  |  |
| 73. | -- Delaware Pooled TR Diversified Inc Fd |  |  |  | Buy            | 11/03/11 | J |  |  |
| 74. |                                          |  |  |  | Sold<br>(part) | 11/07/11 | J |  |  |
| 75. |                                          |  |  |  |                |          |   |  |  |
| 76. | -- First Eagle Fds Global Fd             |  |  |  | Buy            | 11/02/11 | J |  |  |
| 77. |                                          |  |  |  | Buy<br>(add'l) | 11/03/11 | J |  |  |
| 78. |                                          |  |  |  | Sold<br>(part) | 11/07/11 | J |  |  |
| 79. |                                          |  |  |  |                |          |   |  |  |
| 80. | -- Yacktman Fd                           |  |  |  | Buy            | 02/25/11 | J |  |  |
| 81. |                                          |  |  |  | Sold<br>(part) | 11/02/11 | J |  |  |
| 82. |                                          |  |  |  | Sold<br>(part) | 11/07/11 | J |  |  |
| 83. |                                          |  |  |  |                |          |   |  |  |
| 84. | -- Fairholme Fds                         |  |  |  | Buy            | 02/28/11 | J |  |  |
| 85. |                                          |  |  |  | Sold           | 11/02/11 | J |  |  |

|                                                  |                                                                                    |                                                      |                                                                                       |                                                            |                        |
|--------------------------------------------------|------------------------------------------------------------------------------------|------------------------------------------------------|---------------------------------------------------------------------------------------|------------------------------------------------------------|------------------------|
| 1. Income Gain Codes:<br>(See Columns B1 and D4) | A ~\$1,000 or less<br>F ~\$50,001 - \$100,000                                      | B ~\$1,001 - \$2,500<br>G ~\$100,001 - \$1,000,000   | C ~\$2,501 - \$5,000<br>H1 ~\$1,000,001 - \$5,000,000                                 | D ~\$5,001 - \$15,000<br>H2 ~More than \$5,000,000         | E ~\$15,001 - \$50,000 |
| 2. Value Codes<br>(See Columns C1 and D3)        | J ~\$15,000 or less<br>N ~\$250,001 - \$500,000<br>P3 ~\$25,000,001 - \$50,000,000 | K ~\$15,001 - \$50,000<br>O ~\$500,001 - \$1,000,000 | L ~\$50,001 - \$100,000<br>P1 ~\$1,000,001 - \$5,000,000<br>P4 ~More than \$5,000,000 | M ~\$100,001 - \$250,000<br>P2 ~\$5,000,001 - \$25,000,000 |                        |
| 3. Value Method Codes<br>(See Column C2)         | Q ~Appraisal<br>U ~Book Value                                                      | R ~Cost (Real Estate Only)<br>V ~Other               | S ~Assessment<br>W ~Estimated                                                         | T ~Cash Market                                             |                        |

# FINANCIAL DISCLOSURE REPORT

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Name of Person Reporting

MULLEN, GRAHAM C.

Date of Report

10/18/2012

## 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.<br>Description of Assets<br>(including trust assets)<br><br>Place "(X)" after each asset<br>exempt from prior disclosure | B.<br>Income during<br>reporting period |                                               | C.<br>Gross value at end<br>of reporting period |                                           | D.<br>Transactions during reporting period      |                         |                                 |                                |                                                                   |
|-----------------------------------------------------------------------------------------------------------------------------|-----------------------------------------|-----------------------------------------------|-------------------------------------------------|-------------------------------------------|-------------------------------------------------|-------------------------|---------------------------------|--------------------------------|-------------------------------------------------------------------|
|                                                                                                                             | (1)<br>Amount<br>Code 1<br>(A-H)        | (2)<br>Type (e.g.,<br>div., rent,<br>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.,<br>buy, sell,<br>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) | (5)<br>Identity of<br>buyer/seller<br>(if private<br>transaction) |

|                                             |  |  |  |  |                |          |   |  |  |
|---------------------------------------------|--|--|--|--|----------------|----------|---|--|--|
| 86.                                         |  |  |  |  |                |          |   |  |  |
| 87. -- John Hancock Global Oppty Fd         |  |  |  |  | Buy            | 02/28/11 | J |  |  |
| 88.                                         |  |  |  |  | Sold           | 11/02/11 | J |  |  |
| 89.                                         |  |  |  |  |                |          |   |  |  |
| 90. -- Pimco Fds - Total Return Fd          |  |  |  |  | Buy            | 11/02/11 | J |  |  |
| 91.                                         |  |  |  |  | Sold<br>(part) | 11/07/11 | J |  |  |
| 92.                                         |  |  |  |  |                |          |   |  |  |
| 93. -- Royce Premier Fd                     |  |  |  |  | Buy            | 02/25/11 | J |  |  |
| 94.                                         |  |  |  |  | Buy<br>(add'l) | 02/28/11 | J |  |  |
| 95.                                         |  |  |  |  | Sold<br>(part) | 04/08/11 | J |  |  |
| 96.                                         |  |  |  |  | Sold<br>(part) | 11/02/11 | J |  |  |
| 97.                                         |  |  |  |  | Sold<br>(part) | 11/07/11 | J |  |  |
| 98.                                         |  |  |  |  |                |          |   |  |  |
| 99. -- Templeton Fds - TR Global Bd Advisor |  |  |  |  | Buy            | 11/02/11 | J |  |  |
| 100.                                        |  |  |  |  | Sold<br>(part) | 11/07/11 | J |  |  |
| 101.                                        |  |  |  |  |                |          |   |  |  |
| 102. -- MFS - Int'l New Discovery Fd        |  |  |  |  | Buy            | 02/28/11 | J |  |  |

|                                                  |                                                                                       |                                                        |                                                                                           |                                                              |                         |
|--------------------------------------------------|---------------------------------------------------------------------------------------|--------------------------------------------------------|-------------------------------------------------------------------------------------------|--------------------------------------------------------------|-------------------------|
| 1. Income Gain Codes:<br>(See Columns B1 and D4) | A = \$1,000 or less<br>F = \$50,001 - \$100,000                                       | B = \$1,001 - \$2,500<br>G = \$100,001 - \$1,000,000   | C = \$2,501 - \$5,000<br>H1 = \$1,000,001 - \$5,000,000                                   | D = \$5,001 - \$15,000<br>H2 = More than \$5,000,000         | E = \$15,001 - \$50,000 |
| 2. Value Codes<br>(See Columns C1 and D3)        | J = \$15,000 or less<br>N = \$250,001 - \$500,000<br>P3 = \$25,000,001 - \$50,000,000 | K = \$15,001 - \$50,000<br>O = \$500,001 - \$1,000,000 | L = \$50,001 - \$100,000<br>P1 = \$1,000,001 - \$5,000,000<br>P4 = More than \$50,000,000 | M = \$100,001 - \$250,000<br>P2 = \$5,000,001 - \$25,000,000 |                         |
| 3. Value Method Codes<br>(See Column C2)         | Q = Appraisal<br>U = Book Value                                                       | R = Cost (Real Estate Only)<br>V = Other               | S = Assessment<br>W = Estimated                                                           | T = Cash Market                                              |                         |

# FINANCIAL DISCLOSURE REPORT

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Name of Person Reporting

MULLEN, GRAHAM C.

Date of Report

10/18/2012

## 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.<br>Description of Assets<br>(including trust assets)<br><br>Place "(X)" after each asset<br>exempt from prior disclosure | B.<br>Income during<br>reporting period |                                               | C.<br>Gross value at end<br>of reporting period |                                           | D.<br>Transactions during reporting period      |                         |                                 |                                |                                                                   |
|-----------------------------------------------------------------------------------------------------------------------------|-----------------------------------------|-----------------------------------------------|-------------------------------------------------|-------------------------------------------|-------------------------------------------------|-------------------------|---------------------------------|--------------------------------|-------------------------------------------------------------------|
|                                                                                                                             | (1)<br>Amount<br>Code 1<br>(A-H)        | (2)<br>Type (e.g.,<br>div., rent,<br>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.,<br>buy, sell,<br>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) | (5)<br>Identity of<br>buyer/seller<br>(if private<br>transaction) |
| 103.                                                                                                                        |                                         |                                               |                                                 |                                           | Sold<br>(part)                                  | 11/02/11                | J                               |                                |                                                                   |
| 104.                                                                                                                        |                                         |                                               |                                                 |                                           | Sold<br>(part)                                  | 11/07/11                | J                               |                                |                                                                   |
| 105.                                                                                                                        |                                         |                                               |                                                 |                                           |                                                 |                         |                                 |                                |                                                                   |
| 106. -- JP Morgan Core Bond FD Select                                                                                       |                                         |                                               |                                                 |                                           | Buy                                             | 11/02/11                | J                               |                                |                                                                   |
| 107.                                                                                                                        |                                         |                                               |                                                 |                                           | Sold<br>(part)                                  | 11/07/11                | J                               |                                |                                                                   |
| 108.                                                                                                                        |                                         |                                               |                                                 |                                           |                                                 |                         |                                 |                                |                                                                   |
| 109. -- Neuberger Berman Income New Strategic<br>Fd                                                                         |                                         |                                               |                                                 |                                           | Buy                                             | 11/02/11                | J                               |                                |                                                                   |
| 110.                                                                                                                        |                                         |                                               |                                                 |                                           | Sold<br>(part)                                  | 11/07/11                | J                               |                                |                                                                   |
| 111.                                                                                                                        |                                         |                                               |                                                 |                                           |                                                 |                         |                                 |                                |                                                                   |
| 112. -- Nuveen Invt Tradewinds Value Oppty                                                                                  |                                         |                                               |                                                 |                                           | Buy                                             | 02/28/11                | J                               |                                |                                                                   |
| 113.                                                                                                                        |                                         |                                               |                                                 |                                           | Sold<br>(part)                                  | 11/02/11                | J                               |                                |                                                                   |
| 114.                                                                                                                        |                                         |                                               |                                                 |                                           | Sold<br>(part)                                  | 11/07/11                | J                               |                                |                                                                   |
| 115.                                                                                                                        |                                         |                                               |                                                 |                                           |                                                 |                         |                                 |                                |                                                                   |
| 116.                                                                                                                        |                                         |                                               |                                                 |                                           |                                                 |                         |                                 |                                |                                                                   |
| 117.                                                                                                                        |                                         |                                               |                                                 |                                           |                                                 |                         |                                 |                                |                                                                   |
| 118. Hondo Minerals Corp                                                                                                    |                                         | None                                          | J                                               | T                                         | Buy                                             | 06/17/11                | J                               |                                |                                                                   |
| 119.                                                                                                                        |                                         |                                               |                                                 |                                           | Buy<br>(add'l)                                  | 10/30/11                | J                               |                                |                                                                   |

|                                                  |                                                                                    |                                                      |                                                                                        |                                                            |                        |
|--------------------------------------------------|------------------------------------------------------------------------------------|------------------------------------------------------|----------------------------------------------------------------------------------------|------------------------------------------------------------|------------------------|
| 1. Income Gain Codes:<br>(See Columns B1 and D4) | A ~\$1,000 or less<br>F ~\$50,001 - \$100,000                                      | B ~\$1,001 - \$2,500<br>G ~\$100,001 - \$1,000,000   | C ~\$2,501 - \$5,000<br>H1 ~\$1,000,001 - \$5,000,000                                  | D ~\$5,001 - \$15,000<br>H2 ~More than \$5,000,000         | E ~\$15,001 - \$50,000 |
| 2. Value Codes<br>(See Columns C1 and D3)        | J ~\$15,000 or less<br>N ~\$250,001 - \$500,000<br>P3 ~\$25,000,001 - \$50,000,000 | K ~\$15,001 - \$50,000<br>O ~\$500,001 - \$1,000,000 | L ~\$50,001 - \$100,000<br>P1 ~\$1,000,001 - \$5,000,000<br>P4 ~More than \$50,000,000 | M ~\$100,001 - \$250,000<br>P2 ~\$5,000,001 - \$25,000,000 |                        |
| 3. Value Method Codes<br>(See Column C2)         | Q = Appraisal<br>U = Book Value                                                    | R = Cost (Real Estate Only)<br>V = Other             | S = Assessment<br>W = Estimated                                                        | T = Cash Market                                            |                        |

# FINANCIAL DISCLOSURE REPORT

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Name of Person Reporting

MULLEN, GRAHAM C.

Date of Report

10/18/2012

## 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.<br>Description of Assets<br>(including trust assets)<br><br>Place "(X)" after each asset<br>exempt from prior disclosure | B.<br>Income during<br>reporting period |                                               | C.<br>Gross value at end<br>of reporting period |                                           | D.<br>Transactions during reporting period      |                         |                                 |                                |                                                                   |
|-----------------------------------------------------------------------------------------------------------------------------|-----------------------------------------|-----------------------------------------------|-------------------------------------------------|-------------------------------------------|-------------------------------------------------|-------------------------|---------------------------------|--------------------------------|-------------------------------------------------------------------|
|                                                                                                                             | (1)<br>Amount<br>Code 1<br>(A-H)        | (2)<br>Type (e.g.,<br>div., rent,<br>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.,<br>buy, sell,<br>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) | (5)<br>Identity of<br>buyer/seller<br>(if private<br>transaction) |
| 120.                                                                                                                        |                                         |                                               |                                                 |                                           |                                                 |                         |                                 |                                |                                                                   |
| 121.                                                                                                                        |                                         |                                               |                                                 |                                           |                                                 |                         |                                 |                                |                                                                   |
| 122. ISORAY                                                                                                                 |                                         | None                                          | J                                               | T                                         |                                                 |                         |                                 |                                |                                                                   |
| 123.                                                                                                                        |                                         |                                               |                                                 |                                           |                                                 |                         |                                 |                                |                                                                   |
| 124.                                                                                                                        |                                         |                                               |                                                 |                                           |                                                 |                         |                                 |                                |                                                                   |
| 125. Valero Energy                                                                                                          | A                                       | Dividend                                      | J                                               | T                                         |                                                 |                         |                                 |                                |                                                                   |
| 126.                                                                                                                        |                                         |                                               |                                                 |                                           |                                                 |                         |                                 |                                |                                                                   |
| 127.                                                                                                                        |                                         |                                               |                                                 |                                           |                                                 |                         |                                 |                                |                                                                   |
| 128. Mosaic                                                                                                                 | A                                       | Dividend                                      | J                                               | T                                         |                                                 |                         |                                 |                                |                                                                   |
| 129.                                                                                                                        |                                         |                                               |                                                 |                                           |                                                 |                         |                                 |                                |                                                                   |
| 130. Hecla Mining                                                                                                           | A                                       | Dividend                                      | J                                               | T                                         |                                                 |                         |                                 |                                |                                                                   |
| 131.                                                                                                                        |                                         |                                               |                                                 |                                           |                                                 |                         |                                 |                                |                                                                   |
| 132. GDX Goldminers ETF                                                                                                     | A                                       | Dividend                                      | J                                               | T                                         |                                                 |                         |                                 |                                |                                                                   |
| 133.                                                                                                                        |                                         |                                               |                                                 |                                           |                                                 |                         |                                 |                                |                                                                   |
| 134. Curtiss-Wright                                                                                                         | A                                       | Dividend                                      | J                                               | T                                         |                                                 |                         |                                 |                                |                                                                   |
| 135.                                                                                                                        |                                         |                                               |                                                 |                                           |                                                 |                         |                                 |                                |                                                                   |
| 136.                                                                                                                        |                                         |                                               |                                                 |                                           |                                                 |                         |                                 |                                |                                                                   |

|                                                  |                                                                                       |                                                        |                                                                                           |                                                              |                         |
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| 1. Income Gain Codes:<br>(See Columns B1 and D4) | A = \$1,000 or less<br>F = \$50,001 - \$100,000                                       | B = \$1,001 - \$2,500<br>G = \$100,001 - \$1,000,000   | C = \$2,501 - \$5,000<br>H1 = \$1,000,001 - \$5,000,000                                   | D = \$5,001 - \$15,000<br>H2 = More than \$5,000,000         | E = \$15,001 - \$50,000 |
| 2. Value Codes<br>(See Columns C1 and D3)        | J = \$15,000 or less<br>N = \$250,001 - \$500,000<br>P3 = \$25,000,001 - \$50,000,000 | K = \$15,001 - \$50,000<br>O = \$500,001 - \$1,000,000 | L = \$50,001 - \$100,000<br>P1 = \$1,000,001 - \$5,000,000<br>P4 = More than \$50,000,000 | M = \$100,001 - \$250,000<br>P2 = \$5,000,001 - \$25,000,000 |                         |
| 3. Value Method Codes<br>(See Column C2)         | Q = Appraisal<br>U = Book Value                                                       | R = Cost (Real Estate Only)<br>V = Other               | S = Assessment<br>W = Estimated                                                           | T = Cash Market                                              |                         |

# FINANCIAL DISCLOSURE REPORT

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Name of Person Reporting

MULLEN, GRAHAM C.

Date of Report

10/18/2012

## 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.<br>Description of Assets<br>(including trust assets)<br><br>Place "(X)" after each asset<br>exempt from prior disclosure | B.<br>Income during<br>reporting period |                                               | C.<br>Gross value at end<br>of reporting period |                                           | D.<br>Transactions during reporting period      |                         |                                 |                                |                                                                   |
|-----------------------------------------------------------------------------------------------------------------------------|-----------------------------------------|-----------------------------------------------|-------------------------------------------------|-------------------------------------------|-------------------------------------------------|-------------------------|---------------------------------|--------------------------------|-------------------------------------------------------------------|
|                                                                                                                             | (1)<br>Amount<br>Code 1<br>(A-H)        | (2)<br>Type (e.g.,<br>div., rent,<br>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.,<br>buy, sell,<br>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) | (5)<br>Identity of<br>buyer/seller<br>(if private<br>transaction) |
| 137. Northwestern Mutual (NML) Insurance Policies                                                                           |                                         |                                               |                                                 |                                           |                                                 |                         |                                 |                                |                                                                   |
| 138. Whole Life XXX113                                                                                                      | A                                       | Dividend                                      | K                                               | T                                         |                                                 |                         |                                 |                                |                                                                   |
| 139.                                                                                                                        |                                         |                                               |                                                 |                                           |                                                 |                         |                                 |                                |                                                                   |
| 140. NML Whole Life XXX188                                                                                                  | A                                       | Dividend                                      | K                                               | T                                         |                                                 |                         |                                 |                                |                                                                   |
| 141.                                                                                                                        |                                         |                                               |                                                 |                                           |                                                 |                         |                                 |                                |                                                                   |
| 142. NML Whole Life XXX510                                                                                                  | B                                       | Dividend                                      | K                                               | T                                         |                                                 |                         |                                 |                                |                                                                   |
| 143.                                                                                                                        |                                         |                                               |                                                 |                                           |                                                 |                         |                                 |                                |                                                                   |
| 144. NML Whole Life XXX698                                                                                                  | A                                       | Dividend                                      | K                                               | T                                         |                                                 |                         |                                 |                                |                                                                   |
| 145.                                                                                                                        |                                         |                                               |                                                 |                                           |                                                 |                         |                                 |                                |                                                                   |
| 146. NML Extraord. Life 403                                                                                                 | B                                       | Dividend                                      | K                                               | T                                         |                                                 |                         |                                 |                                |                                                                   |
| 147.                                                                                                                        |                                         |                                               |                                                 |                                           |                                                 |                         |                                 |                                |                                                                   |
| 148. NML Adjustable Comp XXX100                                                                                             | C                                       | Dividend                                      | K                                               | T                                         |                                                 |                         |                                 |                                |                                                                   |
| 149.                                                                                                                        |                                         |                                               |                                                 |                                           |                                                 |                         |                                 |                                |                                                                   |
| 150. NML 65 Life 913                                                                                                        | A                                       | Dividend                                      | J                                               | T                                         |                                                 |                         |                                 |                                |                                                                   |
| 151.                                                                                                                        |                                         |                                               |                                                 |                                           |                                                 |                         |                                 |                                |                                                                   |
| 152. NML 65 Life 473                                                                                                        | A                                       | Dividend                                      | J                                               | T                                         |                                                 |                         |                                 |                                |                                                                   |
| 153.                                                                                                                        |                                         |                                               |                                                 |                                           |                                                 |                         |                                 |                                |                                                                   |

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

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Name of Person Reporting

MULLEN, GRAHAM C.

Date of Report

10/18/2012

## 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.<br>Description of Assets<br>(including trust assets)<br><br>Place "(X)" after each asset<br>exempt from prior disclosure | B.<br>Income during<br>reporting period |                                               | C.<br>Gross value at end<br>of reporting period |                                           | D.<br>Transactions during reporting period      |                         |                                 |                                |                                                                   |
|-----------------------------------------------------------------------------------------------------------------------------|-----------------------------------------|-----------------------------------------------|-------------------------------------------------|-------------------------------------------|-------------------------------------------------|-------------------------|---------------------------------|--------------------------------|-------------------------------------------------------------------|
|                                                                                                                             | (1)<br>Amount<br>Code 1<br>(A-H)        | (2)<br>Type (e.g.,<br>div., rent,<br>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.,<br>buy, sell,<br>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) | (5)<br>Identity of<br>buyer/seller<br>(if private<br>transaction) |
| 154. NML Whole Life 437                                                                                                     | A                                       | Dividend                                      | J                                               | T                                         |                                                 |                         |                                 |                                |                                                                   |
| 155.                                                                                                                        |                                         |                                               |                                                 |                                           |                                                 |                         |                                 |                                |                                                                   |
| 156. NML Whole Life 800                                                                                                     |                                         | None                                          | J                                               | T                                         |                                                 |                         |                                 |                                |                                                                   |
| 157.                                                                                                                        |                                         |                                               |                                                 |                                           |                                                 |                         |                                 |                                |                                                                   |
| 158.                                                                                                                        |                                         |                                               |                                                 |                                           |                                                 |                         |                                 |                                |                                                                   |
| 159. Kinross Gold                                                                                                           | A                                       | Dividend                                      | J                                               | T                                         |                                                 |                         |                                 |                                |                                                                   |
| 160.                                                                                                                        |                                         |                                               |                                                 |                                           |                                                 |                         |                                 |                                |                                                                   |
| 161.                                                                                                                        |                                         |                                               |                                                 |                                           |                                                 |                         |                                 |                                |                                                                   |
| 162. Select SPDR Energy                                                                                                     | A                                       | Dividend                                      | J                                               | T                                         |                                                 |                         |                                 |                                |                                                                   |
| 163.                                                                                                                        |                                         |                                               |                                                 |                                           |                                                 |                         |                                 |                                |                                                                   |
| 164. Prudent Bear Fund                                                                                                      |                                         | None                                          | J                                               | T                                         |                                                 |                         |                                 |                                |                                                                   |
| 165.                                                                                                                        |                                         |                                               |                                                 |                                           |                                                 |                         |                                 |                                |                                                                   |
| 166.                                                                                                                        |                                         |                                               |                                                 |                                           |                                                 |                         |                                 |                                |                                                                   |
| 167. Cantango Oil & Gas                                                                                                     |                                         | None                                          |                                                 |                                           | Sold                                            | 11/04/11                | J                               | B                              |                                                                   |
| 168.                                                                                                                        |                                         |                                               |                                                 |                                           |                                                 |                         |                                 |                                |                                                                   |
| 169. Eldorado Gold                                                                                                          | A                                       | Dividend                                      | J                                               | T                                         |                                                 |                         |                                 |                                |                                                                   |
| 170.                                                                                                                        |                                         |                                               |                                                 |                                           |                                                 |                         |                                 |                                |                                                                   |

|                                                  |                                                                                       |                                                        |                                                                                           |                                                              |                         |
|--------------------------------------------------|---------------------------------------------------------------------------------------|--------------------------------------------------------|-------------------------------------------------------------------------------------------|--------------------------------------------------------------|-------------------------|
| 1. Income Gain Codes:<br>(See Columns B1 and D4) | A = \$1,000 or less<br>F = \$50,001 - \$100,000                                       | B = \$1,001 - \$2,500<br>G = \$100,001 - \$1,000,000   | C = \$2,501 - \$5,000<br>H1 = \$1,000,001 - \$5,000,000                                   | D = \$5,001 - \$15,000<br>H2 = More than \$5,000,000         | E = \$15,001 - \$50,000 |
| 2. Value Codes<br>(See Columns C1 and D3)        | J = \$15,000 or less<br>N = \$250,001 - \$500,000<br>P3 = \$25,000,001 - \$50,000,000 | K = \$15,001 - \$50,000<br>O = \$500,001 - \$1,000,000 | L = \$50,001 - \$100,000<br>P1 = \$1,000,001 - \$5,000,000<br>P4 = More than \$50,000,000 | M = \$100,001 - \$250,000<br>P2 = \$5,000,001 - \$25,000,000 |                         |
| 3. Value Method Codes<br>(See Column C2)         | Q = Appraisal<br>U = Book Value                                                       | R = Cost (Real Estate Only)<br>V = Other               | S = Assessment<br>W = Estimated                                                           | T = Cash Market                                              |                         |

# FINANCIAL DISCLOSURE REPORT

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Name of Person Reporting

MULLEN, GRAHAM C.

Date of Report

10/18/2012

## 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.<br>Description of Assets<br>(including trust assets)<br><br>Place "(X)" after each asset<br>exempt from prior disclosure | B.<br>Income during<br>reporting period |                                               | C.<br>Gross value at end<br>of reporting period |                                           | D.<br>Transactions during reporting period      |                         |                                 |                                |                                                                   |
|-----------------------------------------------------------------------------------------------------------------------------|-----------------------------------------|-----------------------------------------------|-------------------------------------------------|-------------------------------------------|-------------------------------------------------|-------------------------|---------------------------------|--------------------------------|-------------------------------------------------------------------|
|                                                                                                                             | (1)<br>Amount<br>Code 1<br>(A-H)        | (2)<br>Type (e.g.,<br>div., rent,<br>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.,<br>buy, sell,<br>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) | (5)<br>Identity of<br>buyer/seller<br>(if private<br>transaction) |
| 171. Verizon Comm.                                                                                                          | A                                       | Dividend                                      | J                                               | T                                         |                                                 |                         |                                 |                                |                                                                   |
| 172.                                                                                                                        |                                         |                                               |                                                 |                                           |                                                 |                         |                                 |                                |                                                                   |
| 173. ishares Japan Fd.                                                                                                      | A                                       | Dividend                                      |                                                 |                                           | Sold                                            | 11/11/11                | J                               |                                |                                                                   |
| 174.                                                                                                                        |                                         |                                               |                                                 |                                           |                                                 |                         |                                 |                                |                                                                   |
| 175. Cisco Sys                                                                                                              |                                         | None                                          |                                                 |                                           | Sold                                            | 05/09/11                | J                               | A                              |                                                                   |
| 176.                                                                                                                        |                                         |                                               |                                                 |                                           |                                                 |                         |                                 |                                |                                                                   |
| 177. Click Software Tech.                                                                                                   |                                         | None                                          | J                                               | T                                         |                                                 |                         |                                 |                                |                                                                   |
| 178.                                                                                                                        |                                         |                                               |                                                 |                                           |                                                 |                         |                                 |                                |                                                                   |
| 179. Chart Indus                                                                                                            |                                         | None                                          | J                                               | T                                         |                                                 |                         |                                 |                                |                                                                   |
| 180.                                                                                                                        |                                         |                                               |                                                 |                                           |                                                 |                         |                                 |                                |                                                                   |
| 181. Nanoviricides                                                                                                          |                                         | None                                          | J                                               | T                                         |                                                 |                         |                                 |                                |                                                                   |
| 182.                                                                                                                        |                                         |                                               |                                                 |                                           |                                                 |                         |                                 |                                |                                                                   |
| 183. Neural Stem Inc.                                                                                                       |                                         | None                                          | J                                               | T                                         |                                                 |                         |                                 |                                |                                                                   |
| 184.                                                                                                                        |                                         |                                               |                                                 |                                           |                                                 |                         |                                 |                                |                                                                   |
| 185. S&P North Amer Tech Fd                                                                                                 | A                                       | Dividend                                      |                                                 |                                           | Sold                                            | 08/11/11                | J                               | A                              |                                                                   |
| 186.                                                                                                                        |                                         |                                               |                                                 |                                           |                                                 |                         |                                 |                                |                                                                   |
| 187. E-Bay Inc.                                                                                                             |                                         | None                                          |                                                 |                                           | Sold                                            | 10/03/11                | J                               |                                |                                                                   |

|                                                  |                                                                                       |                                                        |                                                                                          |                                                              |                         |
|--------------------------------------------------|---------------------------------------------------------------------------------------|--------------------------------------------------------|------------------------------------------------------------------------------------------|--------------------------------------------------------------|-------------------------|
| 1. Income Gain Codes:<br>(See Columns B1 and D4) | A = \$1,000 or less<br>F = \$50,001 - \$100,000                                       | B = \$1,001 - \$2,500<br>G = \$100,001 - \$1,000,000   | C = \$2,501 - \$5,000<br>H1 = \$1,000,001 - \$5,000,000                                  | D = \$5,001 - \$15,000<br>H2 = More than \$5,000,000         | E = \$15,001 - \$50,000 |
| 2. Value Codes<br>(See Columns C1 and D3)        | J = \$15,000 or less<br>N = \$250,001 - \$500,000<br>P3 = \$25,000,001 - \$50,000,000 | K = \$15,001 - \$50,000<br>O = \$500,001 - \$1,000,000 | L = \$50,001 - \$100,000<br>P1 = \$1,000,001 - \$5,000,000<br>P4 = More than \$5,000,000 | M = \$100,001 - \$250,000<br>P2 = \$5,000,001 - \$25,000,000 |                         |
| 3. Value Method Codes<br>(See Column C2)         | Q = Appraisal<br>U = Book Value                                                       | R = Cost (Real Estate Only)<br>V = Other               | S = Assessment<br>W = Estimated                                                          | T = Cash Market                                              |                         |

# FINANCIAL DISCLOSURE REPORT

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Name of Person Reporting

MULLEN, GRAHAM C.

Date of Report

10/18/2012

## 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.<br>Description of Assets<br>(including trust assets)<br><br>Place "(X)" after each asset<br>exempt from prior disclosure | B.<br>Income during<br>reporting period |                                               | C.<br>Gross value at end<br>of reporting period |                                           | D.<br>Transactions during reporting period      |                         |                                 |                                |                                                                   |
|-----------------------------------------------------------------------------------------------------------------------------|-----------------------------------------|-----------------------------------------------|-------------------------------------------------|-------------------------------------------|-------------------------------------------------|-------------------------|---------------------------------|--------------------------------|-------------------------------------------------------------------|
|                                                                                                                             | (1)<br>Amount<br>Code 1<br>(A-H)        | (2)<br>Type (e.g.,<br>div., rent,<br>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.,<br>buy, sell,<br>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) | (5)<br>Identity of<br>buyer/seller<br>(if private<br>transaction) |
| 188.                                                                                                                        |                                         |                                               |                                                 |                                           |                                                 |                         |                                 |                                |                                                                   |
| 189. International Stem Cell Corp.                                                                                          |                                         | None                                          | J                                               | T                                         |                                                 |                         |                                 |                                |                                                                   |
| 190.                                                                                                                        |                                         |                                               |                                                 |                                           |                                                 |                         |                                 |                                |                                                                   |
| 191. Pro-Pharmaceuticals (See below)                                                                                        |                                         | None                                          | J                                               | T                                         |                                                 |                         |                                 |                                |                                                                   |
| 192. NOTE: Name change to Galectin<br>Therapeutics                                                                          |                                         |                                               |                                                 |                                           |                                                 |                         |                                 |                                |                                                                   |
| 193.                                                                                                                        |                                         |                                               |                                                 |                                           |                                                 |                         |                                 |                                |                                                                   |
| 194. Brigus Gold                                                                                                            |                                         | None                                          | J                                               | T                                         |                                                 |                         |                                 |                                |                                                                   |
| 195.                                                                                                                        |                                         |                                               |                                                 |                                           |                                                 |                         |                                 |                                |                                                                   |
| 196. Capstone Turbine                                                                                                       |                                         | None                                          |                                                 |                                           | Sold<br>(part)                                  | 02/23/11                | J                               | A                              |                                                                   |
| 197.                                                                                                                        |                                         |                                               |                                                 |                                           | Sold                                            | 05/03/11                | J                               | B                              |                                                                   |
| 198.                                                                                                                        |                                         |                                               |                                                 |                                           |                                                 |                         |                                 |                                |                                                                   |
| 199. Globe Specialty Metals                                                                                                 | A                                       | Dividend                                      |                                                 |                                           | Sold                                            | 09/27/11                | J                               |                                |                                                                   |
| 200.                                                                                                                        |                                         |                                               |                                                 |                                           |                                                 |                         |                                 |                                |                                                                   |
| 201. Inovio Pharmaceuticals                                                                                                 |                                         | None                                          | J                                               | T                                         | Buy<br>(add'l)                                  | 09/30/11                | J                               |                                |                                                                   |
| 202.                                                                                                                        |                                         |                                               |                                                 |                                           |                                                 |                         |                                 |                                |                                                                   |
| 203. Argentex Mining                                                                                                        |                                         | None                                          | J                                               | T                                         |                                                 |                         |                                 |                                |                                                                   |
| 204.                                                                                                                        |                                         |                                               |                                                 |                                           |                                                 |                         |                                 |                                |                                                                   |

|                                                  |                                                                                       |                                                        |                                                                                          |                                                              |                         |
|--------------------------------------------------|---------------------------------------------------------------------------------------|--------------------------------------------------------|------------------------------------------------------------------------------------------|--------------------------------------------------------------|-------------------------|
| 1. Income Gain Codes:<br>(See Columns B1 and D4) | A = \$1,000 or less<br>F = \$50,001 - \$100,000                                       | B = \$1,001 - \$2,500<br>G = \$100,001 - \$1,000,000   | C = \$2,501 - \$5,000<br>H1 = \$1,000,001 - \$5,000,000                                  | D = \$5,001 - \$15,000<br>H2 = More than \$5,000,000         | E = \$15,001 - \$50,000 |
| 2. Value Codes<br>(See Columns C1 and D3)        | J = \$15,000 or less<br>N = \$250,001 - \$500,000<br>P3 = \$25,000,001 - \$50,000,000 | K = \$15,001 - \$50,000<br>O = \$500,001 - \$1,000,000 | L = \$50,001 - \$100,000<br>P1 = \$1,000,001 - \$5,000,000<br>P4 = More than \$5,000,000 | M = \$100,001 - \$250,000<br>P2 = \$5,000,001 - \$25,000,000 |                         |
| 3. Value Method Codes<br>(See Column C2)         | Q = Appraisal<br>U = Book Value                                                       | R = Cost (Real Estate Only)<br>V = Other               | S = Assessment<br>W = Estimated                                                          | T = Cash Market                                              |                         |

# FINANCIAL DISCLOSURE REPORT

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Name of Person Reporting

MULLEN, GRAHAM C.

Date of Report

10/18/2012

## 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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|-----------------------------------------------------------------------------------------------------------------------------|-----------------------------------------|-----------------------------------------------|-------------------------------------------------|-------------------------------------------|-------------------------------------------------|-------------------------|---------------------------------|--------------------------------|-------------------------------------------------------------------|
|                                                                                                                             | (1)<br>Amount<br>Code 1<br>(A-H)        | (2)<br>Type (e.g.,<br>div., rent,<br>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.,<br>buy, sell,<br>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) | (5)<br>Identity of<br>buyer/seller<br>(if private<br>transaction) |
| 205. Wells Fargo Warrants                                                                                                   |                                         | None                                          |                                                 |                                           | Sold                                            | 07/15/11                | J                               | A                              |                                                                   |
| 206.                                                                                                                        |                                         |                                               |                                                 |                                           |                                                 |                         |                                 |                                |                                                                   |
| 207. Apple Inc.                                                                                                             |                                         | None                                          |                                                 |                                           | Buy<br>(add'l)                                  | 04/03/11                | J                               |                                |                                                                   |
| 208.                                                                                                                        |                                         |                                               |                                                 |                                           | Sold                                            | 10/03/11                | J                               | A                              |                                                                   |
| 209.                                                                                                                        |                                         |                                               |                                                 |                                           |                                                 |                         |                                 |                                |                                                                   |
| 210. First Trust High Income Long/Short FD                                                                                  | A                                       | Dividend                                      | J                                               | T                                         |                                                 |                         |                                 |                                |                                                                   |
| 211.                                                                                                                        |                                         |                                               |                                                 |                                           |                                                 |                         |                                 |                                |                                                                   |
| 212. CenturyLink Inc.                                                                                                       | A                                       | Dividend                                      | J                                               | T                                         |                                                 |                         |                                 |                                |                                                                   |
| 213.                                                                                                                        |                                         |                                               |                                                 |                                           |                                                 |                         |                                 |                                |                                                                   |
| 214.                                                                                                                        |                                         |                                               |                                                 |                                           |                                                 |                         |                                 |                                |                                                                   |
| 215.                                                                                                                        |                                         |                                               |                                                 |                                           |                                                 |                         |                                 |                                |                                                                   |
| 216. Janus Short Term Bond Fund for 2010<br>Report(See Explanation)                                                         | A                                       | Dividend                                      | K                                               | T                                         |                                                 |                         |                                 |                                |                                                                   |
| 217. Janus Short Term Bond Fund                                                                                             |                                         | None                                          |                                                 |                                           | Sold                                            | 04/13/11                | K                               | A                              |                                                                   |
| 218.                                                                                                                        |                                         |                                               |                                                 |                                           |                                                 |                         |                                 |                                |                                                                   |
| 219. Nuveen Ltd Term Muni Bond for 2010<br>Report (See Explanation.)                                                        | A                                       | Dividend                                      | J                                               | T                                         |                                                 |                         |                                 |                                |                                                                   |
| 220. Nuveen Ltd Term Muni Bond                                                                                              |                                         | None                                          |                                                 |                                           | Sold                                            | 01/24/11                | J                               |                                |                                                                   |
| 221.                                                                                                                        |                                         |                                               |                                                 |                                           |                                                 |                         |                                 |                                |                                                                   |

|                                                  |                                                                                    |                                                      |                                                                                        |                                                            |                        |
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| 1. Income Gain Codes:<br>(See Columns B1 and D4) | A ~\$1,000 or less<br>F ~\$50,001 - \$100,000                                      | B ~\$1,001 - \$2,500<br>G ~\$100,001 - \$1,000,000   | C ~\$2,501 - \$5,000<br>H1 ~\$1,000,001 - \$5,000,000                                  | D ~\$5,001 - \$15,000<br>H2 ~More than \$5,000,000         | E ~\$15,001 - \$50,000 |
| 2. Value Codes<br>(See Columns C1 and D3)        | J ~\$15,000 or less<br>N ~\$250,001 - \$500,000<br>P3 ~\$25,000,001 - \$50,000,000 | K ~\$15,001 - \$50,000<br>O ~\$500,001 - \$1,000,000 | L ~\$50,001 - \$100,000<br>P1 ~\$1,000,001 - \$5,000,000<br>P4 ~More than \$50,000,000 | M ~\$100,001 - \$250,000<br>P2 ~\$5,000,001 - \$25,000,000 |                        |
| 3. Value Method Codes<br>(See Column C2)         | Q =Appraisal<br>U =Book Value                                                      | R =Cost (Real Estate Only)<br>V =Other               | S =Assessment<br>W =Estimated                                                          | T =Cash Market                                             |                        |

# FINANCIAL DISCLOSURE REPORT

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Name of Person Reporting

MULLEN, GRAHAM C.

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|-----------------------------------------------------------------------------------------------------------------------------|-----------------------------------------|-----------------------------------------------|-------------------------------------------------|-------------------------------------------|-------------------------------------------------|-------------------------|---------------------------------|--------------------------------|-------------------------------------------------------------------|
|                                                                                                                             | (1)<br>Amount<br>Code 1<br>(A-H)        | (2)<br>Type (e.g.,<br>div., rent,<br>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.,<br>buy, sell,<br>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) | (5)<br>Identity of<br>buyer/seller<br>(if private<br>transaction) |
| 222.                                                                                                                        |                                         |                                               |                                                 |                                           |                                                 |                         |                                 |                                |                                                                   |
| 223.                                                                                                                        |                                         |                                               |                                                 |                                           |                                                 |                         |                                 |                                |                                                                   |
| 224. Morgan Stanley Smith Barney Unified<br>Managed Acct-est12/10/10                                                        |                                         |                                               |                                                 |                                           |                                                 |                         |                                 |                                |                                                                   |
| 225. Cambiar Small Cap Fd                                                                                                   | A                                       | Dividend                                      |                                                 |                                           | Sold<br>(part)                                  | 01/14/11                | J                               | A                              |                                                                   |
| 226.                                                                                                                        |                                         |                                               |                                                 |                                           | Sold<br>(part)                                  | 04/15/11                | J                               | A                              |                                                                   |
| 227.                                                                                                                        |                                         |                                               |                                                 |                                           | Sold<br>(part)                                  | 07/08/11                | J                               | A                              |                                                                   |
| 228.                                                                                                                        |                                         |                                               |                                                 |                                           | Sold                                            | 10/06/11                | J                               |                                |                                                                   |
| 229.                                                                                                                        |                                         |                                               |                                                 |                                           |                                                 |                         |                                 |                                |                                                                   |
| 230. Blackrock Inflation Preferred Bond Port                                                                                | A                                       | Dividend                                      | J                                               | T                                         | Buy<br>(add'l)                                  | 01/14/11                | J                               |                                |                                                                   |
| 231.                                                                                                                        |                                         |                                               |                                                 |                                           | Buy<br>(add'l)                                  | 04/15/11                | J                               |                                |                                                                   |
| 232.                                                                                                                        |                                         |                                               |                                                 |                                           | Sold<br>(part)                                  | 07/08/11                | J                               | A                              |                                                                   |
| 233.                                                                                                                        |                                         |                                               |                                                 |                                           | Sold<br>(part)                                  | 10/06/11                | J                               | A                              |                                                                   |
| 234.                                                                                                                        |                                         |                                               |                                                 |                                           | Buy<br>(add'l)                                  | 10/07/11                | J                               |                                |                                                                   |
| 235.                                                                                                                        |                                         |                                               |                                                 |                                           |                                                 |                         |                                 |                                |                                                                   |
| 236. Eaton Vance Commodity Strategy Fd                                                                                      | A                                       | Dividend                                      | J                                               | T                                         | Buy<br>(add'l)                                  | 01/14/11                | J                               |                                |                                                                   |
| 237.                                                                                                                        |                                         |                                               |                                                 |                                           | Sold<br>(part)                                  | 04/15/11                | J                               | A                              |                                                                   |
| 238.                                                                                                                        |                                         |                                               |                                                 |                                           | Buy<br>(add'l)                                  | 07/08/11                | J                               |                                |                                                                   |

|                         |                                  |                             |                                |                                 |                         |
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| 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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# FINANCIAL DISCLOSURE REPORT

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Name of Person Reporting

MULLEN, GRAHAM C.

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.)

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| A.<br>Description of Assets<br>(including trust assets)<br><br>Place "(X)" after each asset<br>exempt from prior disclosure | B.<br>Income during<br>reporting period |                                               | C.<br>Gross value at end<br>of reporting period |                                           | D.<br>Transactions during reporting period      |                         |                                 |                                |                                                                   |
|-----------------------------------------------------------------------------------------------------------------------------|-----------------------------------------|-----------------------------------------------|-------------------------------------------------|-------------------------------------------|-------------------------------------------------|-------------------------|---------------------------------|--------------------------------|-------------------------------------------------------------------|
|                                                                                                                             | (1)<br>Amount<br>Code 1<br>(A-H)        | (2)<br>Type (e.g.,<br>div., rent,<br>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.,<br>buy, sell,<br>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) | (5)<br>Identity of<br>buyer/seller<br>(if private<br>transaction) |

|                                        |   |          |   |   |                |          |   |   |  |
|----------------------------------------|---|----------|---|---|----------------|----------|---|---|--|
| 239.                                   |   |          |   |   | Sold<br>(part) | 10/07/11 | J |   |  |
| 240.                                   |   |          |   |   |                |          |   |   |  |
| 241. Eaton Vance Large Cap Value Fund  | A | Dividend |   |   | Sold<br>(part) | 01/14/11 | J | A |  |
| 242.                                   |   |          |   |   | Sold<br>(part) | 06/09/11 | J | A |  |
| 243.                                   |   |          |   |   | Sold<br>(part) | 07/08/11 | J | A |  |
| 244.                                   |   |          |   |   | Sold           | 10/07/11 | J |   |  |
| 245.                                   |   |          |   |   |                |          |   |   |  |
| 246. Eaton Vance Income Fund of Boston | A | Dividend | J | T | Sold<br>(part) | 06/09/11 | J | A |  |
| 247.                                   |   |          |   |   | Buy<br>(add'l) | 07/08/11 | J |   |  |
| 248.                                   |   |          |   |   | Sold<br>(part) | 10/06/11 | J |   |  |
| 249.                                   |   |          |   |   | Sold<br>(part) | 10/07/11 | J |   |  |
| 250.                                   |   |          |   |   | Buy<br>(add'l) | 12/07/11 | J |   |  |
| 251.                                   |   |          |   |   |                |          |   |   |  |
| 252. Goldman Sachs TR Growth Opp. Fd.  |   | None     |   |   | Sold<br>(part) | 01/14/11 | J | A |  |
| 253.                                   |   |          |   |   | Sold<br>(part) | 04/15/11 | J | A |  |
| 254.                                   |   |          |   |   | Sold           | 06/03/11 | J | A |  |
| 255.                                   |   |          |   |   |                |          |   |   |  |

|                                                  |                                                                                       |                                                        |                                                                                           |                                                              |                         |
|--------------------------------------------------|---------------------------------------------------------------------------------------|--------------------------------------------------------|-------------------------------------------------------------------------------------------|--------------------------------------------------------------|-------------------------|
| 1. Income Gain Codes:<br>(See Columns B1 and D4) | A = \$1,000 or less<br>F = \$50,001 - \$100,000                                       | B = \$1,001 - \$2,500<br>G = \$100,001 - \$1,000,000   | C = \$2,501 - \$5,000<br>H1 = \$1,000,001 - \$5,000,000                                   | D = \$5,001 - \$15,000<br>H2 = More than \$5,000,000         | E = \$15,001 - \$50,000 |
| 2. Value Codes<br>(See Columns C1 and D3)        | J = \$15,000 or less<br>N = \$250,001 - \$500,000<br>P3 = \$25,000,001 - \$50,000,000 | K = \$15,001 - \$50,000<br>O = \$500,001 - \$1,000,000 | L = \$50,001 - \$100,000<br>P1 = \$1,000,001 - \$5,000,000<br>P4 = More than \$50,000,000 | M = \$100,001 - \$250,000<br>P2 = \$5,000,001 - \$25,000,000 |                         |
| 3. Value Method Codes<br>(See Column C2)         | Q = Appraisal<br>U = Book Value                                                       | R = Cost (Real Estate Only)<br>V = Other               | S = Assessment<br>W = Estimated                                                           | T = Cash Market                                              |                         |

# FINANCIAL DISCLOSURE REPORT

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Name of Person Reporting

MULLEN, GRAHAM C.

Date of Report

10/18/2012

## 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.<br>Description of Assets<br>(including trust assets)<br><br>Place "(X)" after each asset<br>exempt from prior disclosure | B.<br>Income during<br>reporting period |                                               | C.<br>Gross value at end<br>of reporting period |                                           | D.<br>Transactions during reporting period      |                         |                                 |                                |                                                                   |
|-----------------------------------------------------------------------------------------------------------------------------|-----------------------------------------|-----------------------------------------------|-------------------------------------------------|-------------------------------------------|-------------------------------------------------|-------------------------|---------------------------------|--------------------------------|-------------------------------------------------------------------|
|                                                                                                                             | (1)<br>Amount<br>Code 1<br>(A-H)        | (2)<br>Type (e.g.,<br>div., rent,<br>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.,<br>buy, sell,<br>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) | (5)<br>Identity of<br>buyer/seller<br>(if private<br>transaction) |

|                                            |   |          |   |   |                |          |   |   |  |
|--------------------------------------------|---|----------|---|---|----------------|----------|---|---|--|
| 256. Goldman Sachs Absolute Return Tracker |   | None     | J | T | Buy<br>(add'l) | 01/14/11 | J |   |  |
| 257.                                       |   |          |   |   | Buy<br>(add'l) | 04/15/11 | J |   |  |
| 258.                                       |   |          |   |   | Buy<br>(add'l) | 07/08/11 | J |   |  |
| 259.                                       |   |          |   |   | Sold<br>(part) | 10/06/11 | J |   |  |
| 260.                                       |   |          |   |   | Buy<br>(add'l) | 10/07/11 | J |   |  |
| 261.                                       |   |          |   |   | Buy<br>(add'l) | 12/07/11 | J |   |  |
| 262.                                       |   |          |   |   |                |          |   |   |  |
| 263.                                       |   |          |   |   |                |          |   |   |  |
| 264. Ing Global Real Estate                | A | Dividend | J | T | Sold<br>(part) | 01/14/11 | J | A |  |
| 265.                                       |   |          |   |   | Buy<br>(add'l) | 04/15/11 | J |   |  |
| 266.                                       |   |          |   |   | Sold<br>(part) | 06/09/11 | J | A |  |
| 267.                                       |   |          |   |   | Sold<br>(part) | 07/08/11 | J | A |  |
| 268.                                       |   |          |   |   | Sold<br>(part) | 10/06/11 | J |   |  |
| 269.                                       |   |          |   |   | Sold<br>(part) | 10/07/11 | J |   |  |
| 270.                                       |   |          |   |   |                |          |   |   |  |
| 271. Ivy Mid Cap Growth 1                  | A | Dividend | J | T | Buy            | 06/03/11 | J |   |  |
| 272.                                       |   |          |   |   | Sold<br>(part) | 06/09/11 | J |   |  |

|                                                  |                                                                                       |                                                        |                                                                                          |                                                              |                         |
|--------------------------------------------------|---------------------------------------------------------------------------------------|--------------------------------------------------------|------------------------------------------------------------------------------------------|--------------------------------------------------------------|-------------------------|
| 1. Income Gain Codes:<br>(See Columns B1 and D4) | A = \$1,000 or less<br>F = \$50,001 - \$100,000                                       | B = \$1,001 - \$2,500<br>G = \$100,001 - \$1,000,000   | C = \$2,501 - \$5,000<br>H1 = \$1,000,001 - \$5,000,000                                  | D = \$5,001 - \$15,000<br>H2 = More than \$5,000,000         | E = \$15,001 - \$50,000 |
| 2. Value Codes<br>(See Columns C1 and D3)        | J = \$15,000 or less<br>N = \$250,001 - \$500,000<br>P3 = \$25,000,001 - \$50,000,000 | K = \$15,001 - \$50,000<br>O = \$500,001 - \$1,000,000 | L = \$50,001 - \$100,000<br>P1 = \$1,000,001 - \$5,000,000<br>P4 = More than \$5,000,000 | M = \$100,001 - \$250,000<br>P2 = \$5,000,001 - \$25,000,000 |                         |
| 3. Value Method Codes<br>(See Column C2)         | Q = Appraisal<br>U = Book Value                                                       | R = Cost (Real Estate Only)<br>V = Other               | S = Assessment<br>W = Estimated                                                          | T = Cash Market                                              |                         |

# FINANCIAL DISCLOSURE REPORT

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Name of Person Reporting

MULLEN, GRAHAM C.

Date of Report

10/18/2012

## 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.<br>Description of Assets<br>(including trust assets)<br><br>Place "(X)" after each asset<br>exempt from prior disclosure | B.<br>Income during<br>reporting period |                                               | C.<br>Gross value at end<br>of reporting period |                                           | D.<br>Transactions during reporting period      |                         |                                 |                                |                                                                   |
|-----------------------------------------------------------------------------------------------------------------------------|-----------------------------------------|-----------------------------------------------|-------------------------------------------------|-------------------------------------------|-------------------------------------------------|-------------------------|---------------------------------|--------------------------------|-------------------------------------------------------------------|
|                                                                                                                             | (1)<br>Amount<br>Code 1<br>(A-H)        | (2)<br>Type (e.g.,<br>div., rent,<br>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.,<br>buy, sell,<br>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) | (5)<br>Identity of<br>buyer/seller<br>(if private<br>transaction) |

|                                          |   |          |   |   |                |          |   |   |  |
|------------------------------------------|---|----------|---|---|----------------|----------|---|---|--|
| 273.                                     |   |          |   |   | Sold<br>(part) | 07/08/11 | J |   |  |
| 274.                                     |   |          |   |   | Sold<br>(part) | 10/06/11 | J |   |  |
| 275.                                     |   |          |   |   | Buy<br>(add'l) | 12/07/11 | J |   |  |
| 276.                                     |   |          |   |   |                |          |   |   |  |
| 277.                                     |   |          |   |   |                |          |   |   |  |
| 278. JP Morgan Dynamic Small Cap Growth  | A | Dividend |   |   | Sold<br>(part) | 04/15/11 | J | A |  |
| 279.                                     |   |          |   |   | Sold<br>(part) | 07/08/11 | J | A |  |
| 280.                                     |   |          |   |   | Sold           | 10/06/11 | J |   |  |
| 281.                                     |   |          |   |   |                |          |   |   |  |
| 282. Lazard Emerging Mkts Port           | A | Dividend |   |   | Sold<br>(part) | 06/09/11 | J | A |  |
| 283.                                     |   |          |   |   | Sold<br>(part) | 07/08/11 | J | A |  |
| 284.                                     |   |          |   |   | Sold           | 10/06/11 | J |   |  |
| 285.                                     |   |          |   |   |                |          |   |   |  |
| 286. Legg Mason Western Asset Int. Muni. | A | Dividend | J | T | Sold<br>(part) | 04/15/11 | J |   |  |
| 287.                                     |   |          |   |   | Buy<br>(add'l) | 06/09/11 | J |   |  |
| 288.                                     |   |          |   |   | Buy<br>(add'l) | 07/08/11 | J |   |  |
| 289.                                     |   |          |   |   | Buy<br>(add'l) | 10/07/11 | J |   |  |

|                                                  |                                                                                       |                                                        |                                                                                          |                                                              |                         |
|--------------------------------------------------|---------------------------------------------------------------------------------------|--------------------------------------------------------|------------------------------------------------------------------------------------------|--------------------------------------------------------------|-------------------------|
| 1. Income Gain Codes:<br>(See Columns B1 and D4) | A = \$1,000 or less<br>F = \$50,001 - \$100,000                                       | B = \$1,001 - \$2,500<br>G = \$100,001 - \$1,000,000   | C = \$2,501 - \$5,000<br>H1 = \$1,000,001 - \$5,000,000                                  | D = \$5,001 - \$15,000<br>H2 = More than \$5,000,000         | E = \$15,001 - \$50,000 |
| 2. Value Codes<br>(See Columns C1 and D3)        | J = \$15,000 or less<br>N = \$250,001 - \$500,000<br>P3 = \$25,000,001 - \$50,000,000 | K = \$15,001 - \$50,000<br>O = \$500,001 - \$1,000,000 | L = \$50,001 - \$100,000<br>P1 = \$1,000,001 - \$5,000,000<br>P4 = More than \$5,000,000 | M = \$100,001 - \$250,000<br>P2 = \$5,000,001 - \$25,000,000 |                         |
| 3. Value Method Codes<br>(See Column C2)         | Q = Appraisal<br>U = Book Value                                                       | R = Cost (Real Estate Only)<br>V = Other               | S = Assessment<br>W = Estimated                                                          | T = Cash Market                                              |                         |

# FINANCIAL DISCLOSURE REPORT

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Name of Person Reporting

MULLEN, GRAHAM C.

Date of Report

10/18/2012

## 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.<br>Description of Assets<br>(including trust assets)<br><br>Place "(X)" after each asset<br>exempt from prior disclosure | B.<br>Income during<br>reporting period |                                               | C.<br>Gross value at end<br>of reporting period |                                           | D.<br>Transactions during reporting period      |                         |                                 |                                |                                                                   |
|-----------------------------------------------------------------------------------------------------------------------------|-----------------------------------------|-----------------------------------------------|-------------------------------------------------|-------------------------------------------|-------------------------------------------------|-------------------------|---------------------------------|--------------------------------|-------------------------------------------------------------------|
|                                                                                                                             | (1)<br>Amount<br>Code 1<br>(A-H)        | (2)<br>Type (e.g.,<br>div., rent,<br>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.,<br>buy, sell,<br>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) | (5)<br>Identity of<br>buyer/seller<br>(if private<br>transaction) |
| 290.                                                                                                                        |                                         |                                               |                                                 |                                           | Sold<br>(part)                                  | 12/07/11                | J                               | A                              |                                                                   |
| 291.                                                                                                                        |                                         |                                               |                                                 |                                           |                                                 |                         |                                 |                                |                                                                   |
| 292. Mainstay Large Cap Growth Fd                                                                                           | A                                       | Distribution                                  | J                                               | T                                         | Buy<br>(add'l)                                  | 01/14/11                | J                               |                                |                                                                   |
| 293.                                                                                                                        |                                         |                                               |                                                 |                                           | Sold<br>(part)                                  | 04/15/11                | J                               | A                              |                                                                   |
| 294.                                                                                                                        |                                         |                                               |                                                 |                                           | Sold<br>(part)                                  | 06/09/11                | J                               | A                              |                                                                   |
| 295.                                                                                                                        |                                         |                                               |                                                 |                                           | Sold<br>(part)                                  | 07/08/11                | J                               | A                              |                                                                   |
| 296.                                                                                                                        |                                         |                                               |                                                 |                                           | Sold<br>(part)                                  | 10/07/11                | J                               |                                |                                                                   |
| 297.                                                                                                                        |                                         |                                               |                                                 |                                           | Buy<br>(add'l)                                  | 12/07/11                | J                               |                                |                                                                   |
| 298.                                                                                                                        |                                         |                                               |                                                 |                                           |                                                 |                         |                                 |                                |                                                                   |
| 299.                                                                                                                        |                                         |                                               |                                                 |                                           |                                                 |                         |                                 |                                |                                                                   |
| 300. Managers Systematic MD CP                                                                                              | A                                       | Dividend                                      | J                                               | T                                         | Buy                                             | 06/03/11                | J                               |                                |                                                                   |
| 301.                                                                                                                        |                                         |                                               |                                                 |                                           | Sold<br>(part)                                  | 06/09/11                | J                               |                                |                                                                   |
| 302.                                                                                                                        |                                         |                                               |                                                 |                                           | Sold<br>(part)                                  | 07/08/11                | J                               | A                              |                                                                   |
| 303.                                                                                                                        |                                         |                                               |                                                 |                                           | Sold<br>(part)                                  | 10/06/11                | J                               |                                |                                                                   |
| 304.                                                                                                                        |                                         |                                               |                                                 |                                           | Buy                                             | 12/07/11                | J                               |                                |                                                                   |
| 305.                                                                                                                        |                                         |                                               |                                                 |                                           |                                                 |                         |                                 |                                |                                                                   |
| 306. Pimco Funds Emerging Local Bond                                                                                        | A                                       | Dividend                                      | J                                               | T                                         | Sold<br>(part)                                  | 06/09/11                | J                               | A                              |                                                                   |

|                                                  |                                                                                       |                                                        |                                                                                          |                                                              |                         |
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| 2. Value Codes<br>(See Columns C1 and D3)        | J = \$15,000 or less<br>N = \$250,001 - \$500,000<br>P3 = \$25,000,001 - \$50,000,000 | K = \$15,001 - \$50,000<br>O = \$500,001 - \$1,000,000 | L = \$50,001 - \$100,000<br>P1 = \$1,000,001 - \$5,000,000<br>P4 = More than \$5,000,000 | M = \$100,001 - \$250,000<br>P2 = \$5,000,001 - \$25,000,000 |                         |
| 3. Value Method Codes<br>(See Column C2)         | Q = Appraisal<br>U = Book Value                                                       | R = Cost (Real Estate Only)<br>V = Other               | S = Assessment<br>W = Estimated                                                          | T = Cash Market                                              |                         |

# FINANCIAL DISCLOSURE REPORT

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Name of Person Reporting

MULLEN, GRAHAM C.

Date of Report

10/18/2012

## 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.<br>Description of Assets<br>(including trust assets)<br><br>Place "(X)" after each asset<br>exempt from prior disclosure | B.<br>Income during<br>reporting period |                                               | C.<br>Gross value at end<br>of reporting period |                                           | D.<br>Transactions during reporting period      |                         |                                 |                                |                                                                   |
|-----------------------------------------------------------------------------------------------------------------------------|-----------------------------------------|-----------------------------------------------|-------------------------------------------------|-------------------------------------------|-------------------------------------------------|-------------------------|---------------------------------|--------------------------------|-------------------------------------------------------------------|
|                                                                                                                             | (1)<br>Amount<br>Code 1<br>(A-H)        | (2)<br>Type (e.g.,<br>div., rent,<br>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.,<br>buy, sell,<br>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) | (5)<br>Identity of<br>buyer/seller<br>(if private<br>transaction) |
| 307.                                                                                                                        |                                         |                                               |                                                 |                                           | Sold<br>(part)                                  | 10/06/11                | J                               |                                |                                                                   |
| 308.                                                                                                                        |                                         |                                               |                                                 |                                           |                                                 |                         |                                 |                                |                                                                   |
| 309.                                                                                                                        |                                         |                                               |                                                 |                                           |                                                 |                         |                                 |                                |                                                                   |
| 310. Pimco Short Term Fund CL P                                                                                             | A                                       | Dividend                                      | J                                               | T                                         | Buy                                             | 10/07/11                | J                               |                                |                                                                   |
| 311.                                                                                                                        |                                         |                                               |                                                 |                                           | Buy<br>(add'l)                                  | 10/24/11                | J                               |                                |                                                                   |
| 312.                                                                                                                        |                                         |                                               |                                                 |                                           | Sold<br>(part)                                  | 12/07/11                | J                               |                                |                                                                   |
| 313.                                                                                                                        |                                         |                                               |                                                 |                                           |                                                 |                         |                                 |                                |                                                                   |
| 314.                                                                                                                        |                                         |                                               |                                                 |                                           |                                                 |                         |                                 |                                |                                                                   |
| 315. Rydex SGI Managed Futures Strategy Fd                                                                                  | A                                       | Dividend                                      | J                                               | T                                         | Buy                                             | 01/14/11                | J                               |                                |                                                                   |
| 316. NOTE: Guggenheim bought Rydex in 2011.                                                                                 |                                         |                                               |                                                 |                                           | Sold<br>(part)                                  | 04/15/11                | J                               | A                              |                                                                   |
| 317. NOTE: Future Reports will identify this as<br>Guggenheim.                                                              |                                         |                                               |                                                 |                                           | Buy<br>(add'l)                                  | 07/08/11                | J                               |                                |                                                                   |
| 318.                                                                                                                        |                                         |                                               |                                                 |                                           | Sold                                            | 10/06/11                | J                               |                                |                                                                   |
| 319.                                                                                                                        |                                         |                                               |                                                 |                                           | Buy<br>(add'l)                                  | 10/07/11                | J                               |                                |                                                                   |
| 320.                                                                                                                        |                                         |                                               |                                                 |                                           | Buy<br>(add'l)                                  | 12/07/11                | J                               |                                |                                                                   |
| 321.                                                                                                                        |                                         |                                               |                                                 |                                           |                                                 |                         |                                 |                                |                                                                   |
| 322.                                                                                                                        |                                         |                                               |                                                 |                                           |                                                 |                         |                                 |                                |                                                                   |
| 323. TCW Value Opportunities Fund                                                                                           | A                                       | Dividend                                      |                                                 |                                           | Sold<br>(part)                                  | 04/15/11                | J                               | A                              |                                                                   |

|                                                  |                                                                                    |                                                      |                                                                                        |                                                            |                        |
|--------------------------------------------------|------------------------------------------------------------------------------------|------------------------------------------------------|----------------------------------------------------------------------------------------|------------------------------------------------------------|------------------------|
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| 3. Value Method Codes<br>(See Column C2)         | Q = Appraisal<br>U = Book Value                                                    | R = Cost (Real Estate Only)<br>V = Other             | S = Assessment<br>W = Estimated                                                        | T = Cash Market                                            |                        |

# FINANCIAL DISCLOSURE REPORT

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Name of Person Reporting

MULLEN, GRAHAM C.

Date of Report

10/18/2012

## 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.<br>Description of Assets<br>(including trust assets)<br><br>Place "(X)" after each asset<br>exempt from prior disclosure | B.<br>Income during<br>reporting period |                                               | C.<br>Gross value at end<br>of reporting period |                                           | D.<br>Transactions during reporting period      |                         |                                 |                                |                                                                   |
|-----------------------------------------------------------------------------------------------------------------------------|-----------------------------------------|-----------------------------------------------|-------------------------------------------------|-------------------------------------------|-------------------------------------------------|-------------------------|---------------------------------|--------------------------------|-------------------------------------------------------------------|
|                                                                                                                             | (1)<br>Amount<br>Code 1<br>(A-H)        | (2)<br>Type (e.g.,<br>div., rent,<br>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.,<br>buy, sell,<br>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) | (5)<br>Identity of<br>buyer/seller<br>(if private<br>transaction) |
| 324.                                                                                                                        |                                         |                                               |                                                 |                                           | Sold                                            | 06/03/11                | J                               | A                              |                                                                   |
| 325.                                                                                                                        |                                         |                                               |                                                 |                                           |                                                 |                         |                                 |                                |                                                                   |
| 326. Templeton Global Bond Fund Advisor Class                                                                               | A                                       | Dividend                                      |                                                 |                                           | Sold                                            | 12/07/11                | J                               |                                |                                                                   |
| 327.                                                                                                                        |                                         |                                               |                                                 |                                           |                                                 |                         |                                 |                                |                                                                   |
| 328. Thornburg Int'l Value Fund                                                                                             | A                                       | Dividend                                      | J                                               | T                                         | Sold<br>(part)                                  | 01/14/11                | J                               | A                              |                                                                   |
| 329.                                                                                                                        |                                         |                                               |                                                 |                                           | Sold<br>(part)                                  | 04/15/11                | J                               | A                              |                                                                   |
| 330.                                                                                                                        |                                         |                                               |                                                 |                                           | Sold<br>(part)                                  | 06/09/11                | J                               | A                              |                                                                   |
| 331.                                                                                                                        |                                         |                                               |                                                 |                                           | Sold<br>(part)                                  | 07/08/11                | J                               | A                              |                                                                   |
| 332.                                                                                                                        |                                         |                                               |                                                 |                                           | Sold<br>(part)                                  | 10/07/11                | J                               |                                |                                                                   |
| 333.                                                                                                                        |                                         |                                               |                                                 |                                           | Buy<br>(add'l)                                  | 12/07/11                | J                               |                                |                                                                   |
| 334.                                                                                                                        |                                         |                                               |                                                 |                                           |                                                 |                         |                                 |                                |                                                                   |

|                                                  |                                                                                       |                                                        |                                                                                           |                                                              |                         |
|--------------------------------------------------|---------------------------------------------------------------------------------------|--------------------------------------------------------|-------------------------------------------------------------------------------------------|--------------------------------------------------------------|-------------------------|
| 1. Income Gain Codes:<br>(See Columns B1 and D4) | A = \$1,000 or less<br>F = \$50,001 - \$100,000                                       | B = \$1,001 - \$2,500<br>G = \$100,001 - \$1,000,000   | C = \$2,501 - \$5,000<br>H1 = \$1,000,001 - \$5,000,000                                   | D = \$5,001 - \$15,000<br>H2 = More than \$5,000,000         | E = \$15,001 - \$50,000 |
| 2. Value Codes<br>(See Columns C1 and D3)        | J = \$15,000 or less<br>N = \$250,001 - \$500,000<br>P3 = \$25,000,001 - \$50,000,000 | K = \$15,001 - \$50,000<br>O = \$500,001 - \$1,000,000 | L = \$50,001 - \$100,000<br>P1 = \$1,000,001 - \$5,000,000<br>P4 = More than \$50,000,000 | M = \$100,001 - \$250,000<br>P2 = \$5,000,001 - \$25,000,000 |                         |
| 3. Value Method Codes<br>(See Column C2)         | Q = Appraisal<br>U = Book Value                                                       | R = Cost (Real Estate Only)<br>V = Other               | S = Assessment<br>W = Estimated                                                           | T = Cash Market                                              |                         |

# FINANCIAL DISCLOSURE REPORT

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Name of Person Reporting

MULLEN, GRAHAM C.

Date of Report

10/18/2012

## 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 21 - 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 216- Janus Short Term Bond Fund bought in 2009 and shown on the 2009 Report. However, no activity and not shown on the 2010 Report. This is a Self-Initiated Amendment to the 2010 Report.

Line 190 - Nuveen Ltd Term Muni Bond Fund bought in 2009 and shown on the 2009 Report. However, no activity and not shown on the 2010 Report. This is a Self-Initiated Amendment to the 2010 Report.

Line 224 - The assets within the managed account are included in this report on lines 225 - 333, inclusive.

Line 252 - Goldman Sachs TR Growth Opp. Fd. is shown in the 2010 Report on Part VII, page 7, line 36 as Goldman Sachs TR Fin Mkt. Fund.

2010 Report - Part VII, page 7, line 53, Oppenheimer Small Cap Value Fund is an error and should not be listed at all.

# FINANCIAL DISCLOSURE REPORT

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Name of Person Reporting

MULLEN, GRAHAM C.

Date of Report

10/18/2012

## IX. CERTIFICATION.

I certify that all information given above (including information pertaining to my spouse and minor or dependent children, if any) is accurate, true, and complete to the best of my knowledge and belief, and that any information not reported was withheld because it met applicable statutory provisions permitting non-disclosure.

I further certify that earned income from outside employment and honoraria and the acceptance of gifts which have been reported are in compliance with the provisions of 5 U.S.C. app. § 501 et. seq., 5 U.S.C. § 7353, and Judicial Conference regulations.

Signature: **S/ 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  
Suite 2-301  
One Columbus Circle, N.E.  
Washington, D.C. 20544