

FINANCIAL DISCLOSURE REPORT FOR CALENDAR YEAR 2015

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

1. Person Reporting (last name, first, middle initial) MULLEN, GRAHAM C.	2. Court or Organization WESTERN DISTRICT OF N.C.	3. Date of Report 07/22/2016
4. Title (Article III judges indicate active or senior status; magistrate judges indicate full- or part-time) U.S. DISTRICT JUDGE - SENIOR	5a. Report Type (check appropriate type) ☐ Nomination ☐ Date ☐ Initial ☒ Annual ☐ Final 5b. ☐ Amended Report	6. Reporting Period 01/01/2015 to 12/31/2015
7. Chambers or Office Address 230 CHARLES R. JONAS BUILDING 401 WEST TRADE STREET CHARLOTTE, NC 28202		
IMPORTANT NOTES: The instructions accompanying this form must be followed. Complete all parts, checking the NONE box for each part where you have no reportable information.		

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

☐ NONE (No reportable positions.)

POSITION

NAME OF ORGANIZATION/ENTITY

1. Honorary Life Member	Duke University Law School Board of Visitors
2.	
3.	
4.	
5.	

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

☒ NONE (No reportable agreements.)

DATE

PARTIES AND TERMS

1.	
2.	
3.	

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III. NON-INVESTMENT INCOME. *(Reporting individual and spouse; see pp. 17-24 of filing instructions.)***A. Filer's Non-Investment Income**NONE *(No reportable non-investment income.)*DATESOURCE AND TYPEINCOME
(yours, not spouse's)

1. _____

2. _____

3. _____

4. _____

B. Spouse's Non-Investment Income - *If you were married during any portion of the reporting year, complete this section.**(Dollar amount not required except for honoraria.)*NONE *(No reportable non-investment income.)*DATESOURCE AND TYPE

1. _____

2. _____

3. _____

4. _____

IV. REIMBURSEMENTS *— transportation, lodging, food, entertainment.**(Includes those to spouse and dependent children; see pp. 25-27 of filing instructions.)*NONE *(No reportable reimbursements.)*SOURCEDATESLOCATIONPURPOSEITEMS PAID OR PROVIDED

1. _____

2. _____

3. _____

4. _____

5. _____

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

	<u>SOURCE</u>	<u>DESCRIPTION</u>	<u>VALUE</u>
1.			
2.			
3.			
4.			
5.			

VI. LIABILITIES. *(Includes those of spouse and dependent children; see pp. 32-33 of filing instructions.)*NONE *(No reportable liabilities.)*

	<u>CREDITOR</u>	<u>DESCRIPTION</u>	<u>VALUE CODE</u>
1.	American Express	Gold Card	J
2.	BB&T	Visa	J
3.	USAA	MasterCard	J
4.			
5.			

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VII. INVESTMENTS and TRUSTS – income, value, transactions (Includes those of spouse and dependent children; see pp. 34-60 of filing instructions.)

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

A. Description of Assets (including trust assets) Place "(X)" after each asset exempt from prior disclosure	B. Income during reporting period		C. Gross value at end of reporting period		D. Transactions during reporting period				
	(1) Amount Code 1 (A-H)	(2) Type (e.g., div., rent, or int.)	(1) Value Code 2 (J-P)	(2) Value Method Code 3 (Q-W)	(1) Type (e.g., buy, sell, redemption)	(2) Date mm/dd/yy	(3) Value Code 2 (J-P)	(4) Gain Code 1 (A-H)	(5) Identity of buyer/seller (if private transaction)
1. BRANCH BANK & TRUST CO. (Bank Accounts)	A	Interest	M	T					
2.									
3. Smith Barney Money Market Fund (See explanation)	C	Int./Div.	K	T					
4.									
5. Smith Barney Money Market Fund (See explanation)	A	Dividend	J	T					
6.									
7. Central Fund - Canada	A	Dividend	K	T					
8.									
9. Intel Corp.	A	Dividend	J	T					
10.									
11. Merck & Co.	A	Dividend	J	T					
12.									
13. Proctor & Gamble	A	Dividend	J	T					
14.									
15. General Electric	A	Dividend	J	T					
16.									
17. Starbucks	A	Dividend	J	T	Buy	04/21/15	J		

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

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18.									
19. TEVA Pharmaceuticals	A	Dividend	J	T					
20.									
21. Permanent Portfolio	A	Dividend	J	T					
22.									
23. Apple	A	Dividend	J	T					
24.									
25. Goldman Sachs Rising Div	A	Dividend	J	T					
26.									
27. IRA (See explanation)	B	Dividend	K	T					
28. -- Loomis Sayles Funds IT Strategic Inc. Fund					Buy (add'l)	03/31/15	J		
29.					Sold (part)	11/30/15	J		
30.									
31. -- Columbia Contrarian Core Fd Cl Z					Buy	03/31/15	J		
32.					Sold (part)	07/10/15	J		
33.					Sold (part)	11/30/15	J		
34.									

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2. Value Codes (See Columns C1 and D3)	J = \$15,000 or less N = \$250,001 - \$500,000 P3 = \$25,000,001 - \$50,000,000	K = \$15,001 - \$50,000 O = \$500,001 - \$1,000,000	L = \$50,001 - \$100,000 P1 = \$1,000,001 - \$5,000,000 P4 = More than \$50,000,000	M = \$100,001 - \$250,000 P2 = \$5,000,001 - \$25,000,000	
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35. -- Oppenheimer Int'l Bond Fund					Sold	3/30/2015	J	A	
36.									
37. -- Oppenheimer Int'l Small Co. Fund					Buy (add'l)	03/31/15	J		
38.					Sold (part)	04/10/15	J		
39.					Sold (part)	07/10/15	J		
40.					Sold (part)	11/30/15	J		
41.									
42. -- Oppenheimer Gold & Sp. Minerals					Sold	3/30/2015	J	A	
43.									
44.									
45. -- Fidelity Advisor SPR 1 Leveraged Co Hb Fund					Buy (add'l)	03/31/15	J		
46.					Sold (part)	11/30/15	J		
47.									
48. -- Permanent Portfolio Fd					Sold	3/30/2015	J	A	
49.									
50. -- Blackrock Global Allocation					Sold (part)	03/31/15	J		
51.					Sold (part)	11/30/15	J		

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2. Value Codes (See Columns C1 and D3)	J = \$15,000 or less N = \$250,001 - \$500,000 P3 = \$25,000,001 - \$50,000,000	K = \$15,001 - \$50,000 O = \$500,001 - \$1,000,000	L = \$50,001 - \$100,000 P1 = \$1,000,001 - \$5,000,000 P4 = More than \$50,000,000	M = \$100,001 - \$250,000 P2 = \$5,000,001 - \$25,000,000	
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A. Description of Assets (including trust assets) Place "(X)" after each asset exempt from prior disclosure	B. Income during reporting period		C. Gross value at end of reporting period		D. Transactions during reporting period				
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52.									
53. -- Columbia Select Large Cap Growth Fd					Buy (add'l)	03/31/15	J		
54.					Sold (part)	04/10/15	J		
55.					Sold (part)	11/30/15	J		
56.									
57. -- Delaware Pooled TR Diversified Inc Fd					Buy (add'l)	03/31/15	J		
58.					Sold (part)	11/30/15	J		
59.									
60. -- First Eagle Fds Global Fd					Sold (part)	03/31/15	J		
61.					Sold (part)	11/30/15	J		
62.									
63. -- Yacktman Fd					Sold (part)	03/31/15	J		
64.									
65. -- Pimco Fds - Total Return Fd					Sold	3/30/2015	J	A	
66.									
67.									
68. -- Pimco AllAsset AllAuthority					Sold	3/30/2015	J	A	

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69.									
70. -- Royce Premier Fd					Sold	3/30/2015	J	A	
71.									
72. -- Templeton Fds - TR Global Bd Advisor					Buy (add'l)	03/31/15	J		
73.					Sold (part)	04/10/15	J		
74.					Sold (part)	11/30/15	J		
75.									
76. -- MFS - Int'l New Discovery Fd					Buy (add'l)	03/31/15	J		
77.					Sold (part)	04/10/15	J		
78.					Sold (part)	11/30/15	J		
79.									
80. -- JP Morgan Core Bond FD Select					Sold	3/30/2015	J	A	
81.									
82.									
83. -- Neuberger Berman Income New Strategic Fd					Buy (add'l)	03/31/15	J		
84.					Sold (part)	11/30/15	J		
85.									

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86.									
87. John Hancock Fds II Strategic Income Oppty					Buy (add'l)	03/31/15	J		
88.					Sold (part)	10/09/15	J		
89.					Sold (part)	11/30/15	J		
90.									
91. Paxworld FDS SER TRI-PRSEX					Buy (add'l)	03/31/15	J		
92.					Sold (part)	11/30/15	J		
93.									
94. Putnam FDS TR Capital Spectrum FD PVSXX					Buy (add'l)	03/31/15	J		
95.					Sold (part)	11/30/15	J		
96.									
97. Undiscovered Mgr Behavioral Val UBVLX					Buy (add'l)	03/31/15	J		
98.					Sold (part)	07/10/15	J		
99.					Sold (part)	10/09/15	J		
100.					Sold (part)	11/30/15	J		
101.									
102.									

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103. ISORAY		None	J	T					
104.									
105. Mosaic	A	Dividend	J	T					
106.									
107.									
108.									
109. NORTHWESTERN MUTUAL (NML) INSURANCE POLICIES									
110. -- Whole Life XXX	A	Dividend	K	T					
111.									
112. -- NML Whole Life XXX	A	Dividend	K	T					
113.									
114. -- NML Whole Life XXX	B	Dividend	K	T					
115.									
116. -- NML Whole Life XXX	B	Dividend	K	T					
117.									
118. -- NML Extraord. Life	B	Dividend	K	T					
119.									

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120. -- NML Adjustable Comp XXX	C	Dividend	K	T					
121.									
122. -- NML 65 Life	A	Dividend	J	T					
123.									
124. -- NML 65 Life	A	Dividend	J	T					
125.									
126. -- NML Whole Life	A	Dividend	J	T					
127.									
128. -- NML Whole Life		None	J	T					
129.									
130.									
131.									
132.									
133. Chart Indus		None	J	T					
134.									
135. Nanoviricides		None	J	T					
136.									

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	(1) Amount Code 1 (A-H)	(2) Type (e.g., div., rent, or int.)	(1) Value Code 2 (J-P)	(2) Value Method Code 3 (Q-W)	(1) Type (e.g., buy, sell, redemption)	(2) Date mm/dd/yy	(3) Value Code 2 (J-P)	(4) Gain Code 1 (A-H)	(5) Identity of buyer/seller (if private transaction)
137. Neural Stem Inc.		None			Sold	03/30/15	J		
138.									
139. International Stem Cell Corp.		None	J	T					
140.									
141. Galectin Therapeutics		None	J	T					
142.									
143.									
144. Brigus Gold / Primero Mining (See Explanation)		None			Sold	05/19/15	J		
145.									
146.									
147. Mast Therapeutics		None	J	T					
148.									
149. Alliance Grain Traders (AGXXF)	A	Dividend	J	T					
150.									
151. Clearbridge Energy (EMO)	A	Dividend	J	T					
152.									
153. Parkway Properties	A	Dividend	J	T					

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

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Name of Person Reporting

MULLEN, GRAHAM C.

Date of Report

07/22/2016

VII. INVESTMENTS and TRUSTS -- income, value, transactions (Includes those of spouse and dependent children; see pp. 34-60 of filing instructions.)

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

A. Description of Assets (including trust assets) Place "(X)" after each asset exempt from prior disclosure	B. Income during reporting period		C. Gross value at end of reporting period		D. Transactions during reporting period				
	(1) Amount Code 1 (A-H)	(2) Type (e.g., div., rent, or int.)	(1) Value Code 2 (J-P)	(2) Value Method Code 3 (Q-W)	(1) Type (e.g., buy, sell, redemption)	(2) Date mm/dd/yy	(3) Value Code 2 (J-P)	(4) Gain Code 1 (A-H)	(5) Identity of buyer/seller (if private transaction)
154.									
155.									
156.									
157.									
158.									
159.									
160. Blackstone Group	A	Dividend	J	T					
161.									
162. Twitter		None	J	T					
163.									
164.									
165. Iconix Brand		None	J	T					
166.									
167. Alexza Pharm		None			Sold	03/31/15	J		
168.									
169. Clearbridge Ener MLP	A	Dividend	J	T					
170.									

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

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Name of Person Reporting

MULLEN, GRAHAM C.

Date of Report

07/22/2016

VII. INVESTMENTS and TRUSTS -- income, value, transactions (Includes those of spouse and dependent children; see pp. 34-60 of filing instructions.)

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

A. Description of Assets (including trust assets) Place "(X)" after each asset exempt from prior disclosure	B. Income during reporting period		C. Gross value at end of reporting period		D. Transactions during reporting period				
	(1) Amount Code 1 (A-H)	(2) Type (e.g., div., rent, or int.)	(1) Value Code 2 (J-P)	(2) Value Method Code 3 (Q-W)	(1) Type (e.g., buy, sell, redemption)	(2) Date mm/dd/yy	(3) Value Code 2 (J-P)	(4) Gain Code 1 (A-H)	(5) Identity of buyer/seller (if private transaction)
171. US Global Inv	A	Dividend	J	T					
172.									
173. Brocade Comm	A	Dividend			Sold	05/19/15	J	D	
174.									
175.									
176.									
177. Capital Sr. Living		None	J	T					
178.									
179. First Trust MLP	A	Dividend	J	T					
180.									
181. Freeport McMoran	A	Dividend	J	T					
182.									
183. Northfield Bank	A	Dividend	J	T					
184.									
185. Oculusinnovi Sciences (This has fallen below reportable value.)		None	J	T					
186.									
187. Anthera Pharm		None	J	T					

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

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MULLEN, GRAHAM C.

Date of Report

07/22/2016

VII. INVESTMENTS and TRUSTS -- income, value, transactions (Includes those of spouse and dependent children; see pp. 34-60 of filing instructions.)

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

A. Description of Assets (including trust assets) Place "(X)" after each asset exempt from prior disclosure	B. Income during reporting period		C. Gross value at end of reporting period		D. Transactions during reporting period				
	(1) Amount Code 1 (A-H)	(2) Type (e.g., div., rent, or int.)	(1) Value Code 2 (J-P)	(2) Value Method Code 3 (Q-W)	(1) Type (e.g., buy, sell, redemption)	(2) Date mm/dd/yy	(3) Value Code 2 (J-P)	(4) Gain Code 1 (A-H)	(5) Identity of buyer/seller (if private transaction)
188.									
189. Silver Wheaton	A	Dividend	J	T					
190.									
191.									
192. Morgan Stanley Discretionary Joint Account (See Explanation.)	A	Dividend	K	T	Open	04/21/15	K		
193.									
194.									
195. Sprott Platinum ETF (See Explanation.)		None			Sold	04/28/15	J		
196.									
197. Aegerion Pharm (See Explanation.)		None			Sold	01/13/15	J	A	
198.									
199. Coach	A	Dividend	J	T	Buy	02/19/15	J		
200.									
201. S&W Seed		None	J	T	Buy	03/30/15	J		
202.									
203.									
204.									

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

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MULLEN, GRAHAM C.

Date of Report

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VII. INVESTMENTS and TRUSTS – income, value, transactions (Includes those of spouse and dependent children; see pp. 34-60 of filing instructions.)

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

A. Description of Assets (including trust assets) Place "(X)" after each asset exempt from prior disclosure	B. Income during reporting period		C. Gross value at end of reporting period		D. Transactions during reporting period				
	(1) Amount Code 1 (A-H)	(2) Type (e.g., div., rent, or int.)	(1) Value Code 2 (J-P)	(2) Value Method Code 3 (Q-W)	(1) Type (e.g., buy, sell, redemption)	(2) Date mm/dd/yy	(3) Value Code 2 (J-P)	(4) Gain Code 1 (A-H)	(5) Identity of buyer/seller (if private transaction)
205.									
206. SELF-INITIATED AMENDMENT - 2013									
207. Sprott Platinum ETF		None	J	T	Buy	05/07/13	J		
208.									
209. SELF-INITIATED AMENDMENT - 2014									
210. Sprott Platinum ETF		None	J	T					
211. Aegerion Pharm		None	J	T	Buy	11/07/14	J		
212. Brigus Gold / Primero Mining (See Explanation ref Line 144.)		None	J	T					
213.									
214.									
215.									
216.									
217.									
218.									
219.									
220.									
221.									

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

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MULLEN, GRAHAM C.

Date of Report

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VII. INVESTMENTS and TRUSTS – income, value, transactions (Includes those of spouse and dependent children; see pp. 34-60 of filing instructions.)

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

A. Description of Assets (including trust assets) Place "(X)" after each asset exempt from prior disclosure	B. Income during reporting period		C. Gross value at end of reporting period		D. Transactions during reporting period				
	(1) Amount Code 1 (A-H)	(2) Type (e.g., div., rent, or int.)	(1) Value Code 2 (J-P)	(2) Value Method Code 3 (Q-W)	(1) Type (e.g., buy, sell, redemption)	(2) Date mm/dd/yy	(3) Value Code 2 (J-P)	(4) Gain Code 1 (A-H)	(5) Identity of buyer/seller (if private transaction)
222.									
223.									

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

MULLEN, GRAHAM C.

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

EXPLANATION OF LINE ITEMS CONTAINED IN PART VII.

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

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

Line 144 - Brigus Gold was acquired by Primero Mining in March 2014.

Line 192 - Per instruction via e-mail from the Financial Disclosure Office, Morgan Stanley Discretionary Account is listed rather than individual stocks that do not exceed \$1,000. .

Lines 195 and 197. See Self-Initiated Amendments to the 2013 and 2014 Report

Line 206 - SELF-INITIATED AMENDMENT TO THE 2013 REPORT

Line 209 - SELF-INITIATED AMENDMENT TO THE 2014 REPORT

On lines 37 and 38 of my 2014 annual report, I inadvertently listed Satuit Cap Micro Cap Fund as Sold (part) when it was sold in full. Thus, this asset does not appear on my 2015 annual report.

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Name of Person Reporting

MULLEN, GRAHAM C.

Date of Report

07/22/2016

IX. CERTIFICATION.

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

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

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

NOTE: ANY INDIVIDUAL WHO KNOWINGLY AND WILLFULLY FALSIFIES OR FAILS TO FILE THIS REPORT MAY BE SUBJECT TO CIVIL AND CRIMINAL SANCTIONS (5 U.S.C. app. § 104)

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