

FINANCIAL DISCLOSURE REPORT FOR CALENDAR YEAR 2010

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 7/25/2011
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 01/01/2010 to 12/31/2010
7. Chambers or Office Address 230 CHARLES R. JONAS BUILDING 401 WEST TRADE STREET CHARLOTTE, NC 28202	8. On the basis of the information contained in this Report and any modifications pertaining thereto, it is, in my opinion, in compliance with applicable laws and regulations. Reviewing Officer _____ Date _____	
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. Sign on last page.		

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. Horary 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.	

Mullen, Graham C.

FINANCIAL DISCLOSURE REPORT

Page 2 of 20

Name of Person Reporting

MULLEN, GRAHAM C.

Date of Report

7/25/2011

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.)*

<u>DATE</u>	<u>SOURCE AND TYPE</u>	<u>INCOME</u> (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.)*

<u>DATE</u>	<u>SOURCE AND TYPE</u>
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.)*

<u>SOURCE</u>	<u>DATES</u>	<u>LOCATION</u>	<u>PURPOSE</u>	<u>ITEMS PAID OR PROVIDED</u>
1.				
2.				
3.				
4.				
5.				

FINANCIAL DISCLOSURE REPORT

Page 3 of 20

Name of Person Reporting

MULLEN, GRAHAM C.

Date of Report

7/25/2011

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. Bank of America	Credit Card	J
2.		
3.		
4.		
5.		

FINANCIAL DISCLOSURE REPORT

Page 4 of 20

Name of Person Reporting

MULLEN, GRAHAM C.

Date of Report

7/25/2011

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)	(2)	(1)	(2)	(1)	(2)	(3)	(4)	(5)
	Amount Code 1 (A-H)	Type (e.g., div., rent, or int.)	Value Code 2 (J-P)	Value Method Code 3 (Q-W)	Type (e.g., buy, sell, redemption)	Date mm/dd/yy	Value Code 2 (J-P)	Gain Code 1 (A-H)	Identity of buyer/seller (if private 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			J		
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	Buy (add'l)	04/06/10	J		
16.									
17. Chart Indus		None	J	T	Buy	11/22/10	J		

1. Income Gain Codes:
(See Columns B1 and D4)

A = \$1,000 or less
F = \$50,001 - \$100,000

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

3. Value Method Codes
(See Column C2)

Q = Appraisal
U = Book Value

B = \$1,001 - \$2,500
G = \$100,001 - \$1,000,000
K = \$15,001 - \$50,000
O = \$500,001 - \$1,000,000

R = Cost (Real Estate Only)
V = Other

C = \$2,501 - \$5,000
H1 = \$1,000,001 - \$5,000,000
L = \$50,001 - \$100,000
P1 = \$1,000,001 - \$5,000,000
P4 = More than \$50,000,000
S = Assessment
W = Estimated

D = \$5,001 - \$15,000
H2 = More than \$5,000,000
M = \$100,001 - \$250,000
P2 = \$5,000,001 - \$25,000,000

T = Cash Market

E = \$15,001 - \$50,000

FINANCIAL DISCLOSURE REPORT

Page 5 of 20

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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)	(2)	(1)	(2)	(1)	(2)	(3)	(4)	(5)
	Amount Code 1 (A-H)	Type (e.g., div., rent, or int.)	Value Code 2 (J-P)	Value Method Code 3 (Q-W)	Type (e.g., buy, sell, redemption)	Date mm/dd/yy	Value Code 2 (J-P)	Gain Code 1 (A-H)	Identity of buyer/seller (if private transaction)
18.									
19. Sun Microsystems		None			Sold	01/28/10	J	A	
20.									
21. Capital World Bd Fd	A	Dividend			Sold	04/13/10	J	A	
22.									
23. Capital World G.B.	A	Dividend			Sold	10/18/10	J	A	
24.									
25. Euro Pac Bond Fund	A	Dividend			Sold	04/13/10	J	A	
26.									
27.									
28. IRA (See Explanation)	A	Dividend	K	T					
29. Blackrock Funds - Large Cap Value					Sold (part)	03/31/10	J		
30.					Sold (part)	06/09/10	J		
31.					Buy (add'l)	06/10/10	J		
32.									
33. John Hancock - Large Cap Equity Fund									
34.									

1. Income Gain Codes:
(See Columns B 1 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 C 1 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

FINANCIAL DISCLOSURE REPORT

Page 6 of 20

Name of Person Reporting

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7/25/2011

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)
35.									
36. Goldman Sachs TR Fin Mkt Fund									
37.									
38.									
39.									
40. Loomis Sayles Funds IT Strategic Inc. Fund					Sold (part)	03/31/10	J		
41.					Sold (part)	06/09/10	J		
42.					Buy (add'l)	06/09/10	J		
43.					Buy (add'l)	06/10/10	J		
44.					Buy (add'l)	06/10/10	J		
45.									
46.									
47. MFS Resh Int'l Fund					Sold (part)	07/09/10	J		
48.					Buy (add'l)	06/10/10	J		
49.									
50. Oppenheimer Int'l Bond Fund									
51.									

1. Income Gain Codes:

(See Columns B1 and D4)

2. Value Codes

(See Columns C1 and D3)

3. Value Method Codes

(See Column C2)

A = \$1,000 or less

F = \$50,001 - \$100,000

J = \$15,000 or less

N = \$250,001 - \$500,000

P3 = \$25,000,001 - \$50,000,000

Q = Appraisal

U = Book Value

B = \$1,001 - \$2,500

G = \$100,001 - \$1,000,000

K = \$15,001 - \$50,000

O = \$500,001 - \$1,000,000

R = Cost (Real Estate Only)

V = Other

C = \$2,501 - \$5,000

H1 = \$1,000,001 - \$5,000,000

L = \$50,001 - \$100,000

P1 = \$1,000,001 - \$5,000,000

P4 = More than \$50,000,000

S = Assessment

W = Estimated

D = \$5,001 - \$15,000

H2 = More than \$5,000,000

M = \$100,001 - \$250,000

P2 = \$5,000,001 - \$25,000,000

T = Cash Market

E = \$15,001 - \$50,000

FINANCIAL DISCLOSURE REPORT

Page 7 of 20

Name of Person Reporting

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Date of Report

7/25/2011

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)
52.									
53. Oppenheimer Small Cap Value Fund									
54.									
55. Oppenheimer Int'l Small Co Fund									
56.									
57.									
58.									
59. Satuit Cap Micro Cap Fund					Buy (add'l)	06/10/10	J		
60.									
61. American Funds Gr. Fund					Sold (part)	06/09/10	J		
62.					Sold (part)	03/31/10	J		
63.									
64. Keeley Funds Small Cap Value					Sold (part)	03/31/10	J		
65.					Buy (add'l)	06/10/10	J		
66.									
67. Oppenheimer Gold & Sp. Minerals					Buy (add'l)	06/09/10	J		
68.					Sold (part)	06/09/10	J		

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

FINANCIAL DISCLOSURE REPORT

Page 8 of 20

Name of Person Reporting

MULLEN, GRAHAM C.

Date of Report

7/25/2011

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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69.					Sold (part)	10/08/10	J		
70.									
71. Fidelity Advisor SPR 1 Leveraged Co Hb Fund					Buy (add'l)	06/10/10	J		
72.					Sold (part)	06/10/10	J		
73.					Sold (part)	03/31/10	J		
74.									
75. Permanent Portfolio Fd					Buy	06/09/10	J		
76.									
77.									
78.									
79.									
80. ISORAY		None	J	T					
81.									
82. Lattice Semi		None			Sold	05/04/10	J	C	
83.									
84.									
85.									

1. Income Gain Codes:
(See Columns B1 and D4)

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2. Value Codes
(See Columns C1 and D3)

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P2 = \$5,000,001 - \$25,000,000

3. Value Method Codes
(See Column C2)

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FINANCIAL DISCLOSURE REPORT

Page 9 of 20

Name of Person Reporting

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7/25/2011

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86. Valero Energy	A	Dividend	J	T	Buy (add'l)	04/20/10	J		
87.									
88.									
89. Mosaic		None	J	T					
90.									
91. Hecla Mining		None	J	T					
92.									
93. GDX Goldminers ETF	A	Dividend	J	T					
94.									
95. Curtiss-Wright	A	Dividend	J	T					
96.									
97.									
98. Northwestern Mutual (NML) Insurance Policies									
99. Whole Life XXX113	A	Dividend	K	T					
100.									
101. NML Whole Life XXX188	A	Dividend	K	T					
102.									

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(See Columns B1 and D4)

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2. Value Codes
(See Columns C1 and D3)

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O = \$500,001 - \$1,000,000

L = \$50,001 - \$100,000
P1 = \$1,000,001 - \$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

P4 = More than \$50,000,000
S = Assessment
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FINANCIAL DISCLOSURE REPORT

Page 10 of 20

Name of Person Reporting

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103. NML Whole Life XXX510	B	Dividend	K	T					
104.									
105. NML Whole Life XXX698	A	Dividend	K	T					
106.									
107. NML Extraord. Life 403	B	Dividend	K	T					
108.									
109. NML Adjustable Comp XXX100	C	Dividend	K	T					
110.									
111. NML 65 Life 913 (see explanation)	A	Dividend	J	T					
112.									
113. NML 65 Life 473 (see explanation)	A	Dividend	J	T					
114.									
115. NML Whole Life 437 (see explanation)	A	Dividend	J	T					
116.									
117. NML Whole Life 800		None	J	T	Buy	10/14/10	J		
118.									
119. Kinross Gold	A	Dividend	J	T					

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(See Columns B1 and D4)

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(See Columns C1 and D3)

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L = \$50,001 - \$100,000
P1 = \$1,000,001 - \$5,000,000
P4 = More than \$50,000,000
S = Assessment
W = Estimated

D = \$5,001 - \$15,000
H2 = More than \$5,000,000
M = \$100,001 - \$250,000
P2 = \$5,000,001 - \$25,000,000

T = Cash Market

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FINANCIAL DISCLOSURE REPORT

Page 11 of 20

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120.									
121. Potash Corp.	A	Dividend			Sold	10/18/10	J	D	
122.									
123. Tesco Corp.		None			Sold	01/13/10	J	B	
124.									
125. Powershares Wilderhill Clean Energy		None			Sold	12/22/10	J	A	
126.									
127. Select SPDR Energy	A	Dividend	J	T					
128.									
129. Prudent Bear Fund		None	J	T					
130.									
131. Janus Short Term Bond Fund	A	Interest			Sold	09/20/10	J	A	
132.									
133. Nuveen Ltd Term Muni Bond Fund	A	Interest			Sold	12/08/10	J		
134.									
135. Advanced Analogic Technologies		None			Sold	01/21/10	J	A	
136.									

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(See Columns B1 and D4)

A = \$1,000 or less
F = \$50,001 - \$100,000
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N = \$250,001 - \$500,000
P3 = \$25,000,001 - \$50,000,000

B = \$1,001 - \$2,500
G = \$100,001 - \$1,000,000
K = \$15,001 - \$50,000
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R = Cost (Real Estate Only)
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H1 = \$1,000,001 - \$5,000,000
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P1 = \$1,000,001 - \$5,000,000
P4 = More than \$50,000,000
S = Assessment
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3. Value Method Codes
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Q = Appraisal
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FINANCIAL DISCLOSURE REPORT

Page 12 of 20

Name of Person Reporting

MULLEN, GRAHAM C.

Date of Report

7/25/2011

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	(2)	(1)	(2)	(1)	(2)	(3)	(4)	(5)
	Code 1 (A-H)	Type (e.g., div., rent, or int.)	Value Code 2 (J-P)	Value Method Code 3 (Q-W)	Type (e.g., buy, sell, redemption)	Date mm/dd/yy	Value Code 2 (J-P)	Gain Code 1 (A-H)	Identity of buyer/seller (if private transaction)
137. AT&T	A	Dividend			Sold	01/13/10	J		
138.									
139. Cantango Oil & Gas (see Explanation)		None	J	T					
140.									
141. Eldorado Gold		None	J	T					
142.									
143. Frontier Common. (see Explanation)	A	Dividend			Buy	01/13/10	J		
144.					Buy (add'l)	08/17/10	J		
145.					Sold	12/08/10	J	A	
146.									
147. Terranova Royalty Corp. (see Explanation)		None			Buy	04/22/10	J		
148.					Sold	05/03/10	J		
149.									
150. Verizon Comm.	A	Dividend	J	T	Buy	01/13/10	J		
151.									
152. ishares Japan Fd.	A	Dividend	J	T	Buy	03/22/10	J		
153.									

1. Income Gain Codes:
(See Columns B1 and D4)

A = \$1,000 or less
F = \$50,001 - \$100,000

B = \$1,001 - \$2,500
G = \$100,001 - \$1,000,000

C = \$2,501 - \$5,000
H1 = \$1,000,001 - \$5,000,000

D = \$5,001 - \$15,000
H2 = More than \$5,000,000

E = \$15,001 - \$50,000

2. Value Codes
(See Columns C1 and D3)

J = \$15,000 or less
N = \$250,001 - \$500,000
P3 = \$25,000,001 - \$50,000,000

K = \$15,001 - \$50,000
O = \$500,001 - \$1,000,000

L = \$50,001 - \$100,000
P1 = \$1,000,001 - \$5,000,000
P4 = More than \$50,000,000

M = \$100,001 - \$250,000
P2 = \$5,000,001 - \$25,000,000

3. Value Method Codes
(See Column C2)

Q = Appraisal
U = Book Value

R = Cost (Real Estate Only)
V = Other

S = Assessment
W = Estimated

T = Cash Market

FINANCIAL DISCLOSURE REPORT

Page 13 of 20

Name of Person Reporting

MULLEN, GRAHAM C.

Date of Report

7/25/2011

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. Cisco Sys		None	J	T	Buy	03/09/10	J		
155.									
156. Click Software Tech.		None	J	T	Buy	03/31/10	J		
157.									
158. Chart Indus		None	J	T	Buy	03/31/10	J		
159.									
160. Nanov:Ricides		None	J	T	Buy	03/31/10	J		
161.									
162. Neural Stem Inc.		None	J	T	Buy	04/20/10	J		
163.									
164. S&P North Amer Tech Fd	A	Dividend	J	T	Buy	04/13/10	J		
165.									
166. E-Bay Inc.		None	J	T	Buy	05/13/10	J		
167.									
168. International Stem Cell Corp.		None	J	T	Buy	05/13/10	J		
169.									
170. Pro-Pharmaceuticals		None	J	T	Buy	05/13/10	J		

1. Income Gain Codes:
(See Columns B1 and D4)

A = \$1,000 or less
F = \$50,001 - \$100,000

B = \$1,001 - \$2,500
G = \$100,001 - \$1,000,000

C = \$2,501 - \$5,000
H1 = \$1,000,001 - \$5,000,000

D = \$5,001 - \$15,000
H2 = More than \$5,000,000

E = \$15,001 - \$50,000

2. Value Codes
(See Columns C1 and D3)

J = \$15,000 or less
N = \$250,001 - \$500,000
P3 = \$25,000,001 - \$50,000,000

K = \$15,001 - \$50,000
O = \$500,001 - \$1,000,000

L = \$50,001 - \$100,000
P1 = \$1,000,001 - \$5,000,000
P4 = More than \$50,000,000

M = \$100,001 - \$250,000
P2 = \$5,000,001 - \$25,000,000

3. Value Method Codes
(See Column C2)

Q = Appraisal
U = Book Value

R = Cost (Real Estate Only)
V = Other

S = Assessment
W = Estimated

T = Cash Market

FINANCIAL DISCLOSURE REPORT

Page 14 of 20

Name of Person Reporting

MULLEN, GRAHAM C.

Date of Report

7/25/2011

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.									
172. Brigus Gold		None	J	T	Buy	12/10/10	J		
173.									
174. Capstone Turbine		None	J	T	Buy	03/09/10	J		
175.					Buy (add'l)	05/04/10	J		
176.									
177. TTi Team Telecom		None			Buy	01/21/10	J		
178.					Sold	03/04/10	J		
179. Globe Specialty Metals	A	Dividend	J	T	Buy	10/07/10	J		
180.									
181. iNovio Pharmaceuticals		None	J	T	Buy	09/01/10	J		
182. Argentex Mining (see Explanation)		None	J	T	Buy	09/17/10	J		
183.									
184. Wells Fargo Warrants		None	J	T	Buy	09/17/10	J		
185.									
186. Apple Inc.		None	J	T	Buy	09/23/10	J		
187.									

1. Income Gain Codes:

(See Columns B1 and D4)

2. Value Codes

(See Columns C1 and D3)

3. Value Method Codes

(See Column C2)

A = \$1,000 or less

F = \$50,001 - \$100,000

J = \$15,000 or less

N = \$250,001 - \$500,000

P3 = \$25,000,001 - \$50,000,000

Q = Appraisal

U = Book Value

B = \$1,001 - \$2,500

G = \$100,001 - \$1,000,000

K = \$15,001 - \$50,000

O = \$500,001 - \$1,000,000

R = Cost (Real Estate Only)

V = Other

C = \$2,501 - \$5,000

H1 = \$1,000,001 - \$5,000,000

L = \$50,001 - \$100,000

P1 = \$1,000,001 - \$5,000,000

P4 = More than \$50,000,000

S = Assessment

W = Estimated

D = \$5,001 - \$15,000

H2 = More than \$5,000,000

M = \$100,001 - \$250,000

P2 = \$5,000,001 - \$25,000,000

T = Cash Market

E = \$15,001 - \$50,000

FINANCIAL DISCLOSURE REPORT

Page 15 of 20

Name of Person Reporting

MULLEN, GRAHAM C.

Date of Report

7/25/2011

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. First Trust High Income Long/Short FD	A	Dividend	J	T	Buy	09/27/10	J		
189.									
190. CenturyLink Inc.		None	J	T	Buy	12/08/10	J		
191.									
192. Morgan Stanley Smith Barney Unified Managed Acct-est 12/10/10									
193. Cambiar Small Cap Fd		None	J	T	Buy	12/10/10	J		
194.					Buy (add'l)	12/15/10	J		
195.									
196. Blackrock Inflation Preferred Bond Port	A	Dividend	J	T	Buy	12/10/10	J		
197.	A	Distribution			Buy (add'l)	12/15/10	J		
198.									
199. Eaton Vance Commodity Strategy Fd	A	Dividend	J	T	Buy	12/10/10	J		
200.	A	Distribution			Buy (add'l)	12/15/10	J		
201.									
202. Eaton Vance Large Cap Value Fund	A	Dividend	J	T	Buy	12/10/10	J		
203.					Buy (add'l)	12/15/10	J		
204.									

1. Income Gain Codes:
(See Columns B1 and D4)

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H1 = \$1,000,001 - \$5,000,000

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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

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

P4 = More than \$50,000,000
S = Assessment
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FINANCIAL DISCLOSURE REPORT

Page 16 of 20

Name of Person Reporting

MULLEN, GRAHAM C.

Date of Report

7/25/2011

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)	(2)	(1)	(2)	(1)	(2)	(3)	(4)	(5)
	Amount Code 1 (A-H)	Type (e.g., div., rent, or int.)	Value Code 2 (J-P)	Value Method Code 3 (Q-W)	Type (e.g., buy, sell, redemption)	Date mm/dd/yy	Value Code 2 (J-P)	Gain Code 1 (A-H)	Identity of buyer/seller (if private transaction)
205. Eaton Vance Income Fund of Boston	A	Dividend	J	T	Buy	12/10/10	J		
206.					Buy (add'l)	12/15/10	J		
207.									
208. Goldman Sachs Growth Opp. Fd.		None	J	T	Buy	12/10/10	J		
209.					Buy (add'l)	12/15/10	J		
210.									
211. Goldman Sachs Absolute Return Tracker		None	J	T	Buy	12/10/10	J		
212.					Buy (add'l)	12/15/10	J		
213.									
214. Ing Global Real Estate	A	Dividend	J	T	Buy	12/10/10	J		
215.					Buy (add'l)	12/15/10	J		
216.									
217. JP Morgan Dynamic Small Cap Growth		None	J	T	Buy	12/10/10	J		
218.					Buy (add'l)	12/15/10	J		
219.									
220. Lazard Emerging Mkts Port	A	Dividend	J	T	Buy	12/10/10	J		
221.					Buy (add'l)	12/15/10	J		

1. Income Gain Codes:
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2. Value Codes
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FINANCIAL DISCLOSURE REPORT

Page 17 of 20

Name of Person Reporting

MULLEN, GRAHAM C.

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

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A. Description of Assets (including trust assets) Place "(X)" after each asset exempt from prior disclosure	B. Income during reporting period		C. Gross value at end of reporting period		D. Transactions during reporting period				
	(1)	(2)	(1)	(2)	(1)	(2)	(3)	(4)	(5)
	Amount Code 1 (A-H)	Type (e.g., div., rent, or int.)	Value Code 2 (J-P)	Value Method Code 3 (Q-W)	Type (e.g., buy, sell, redemption)	Date mm/dd/yy	Value Code 2 (J-P)	Gain Code 1 (A-H)	Identity of buyer/seller (if private transaction)
222.									
223. Legg Mason Western Asset Int. Muni.	A	Dividend	J	T	Buy	12/10/10	J		
224.					Buy (add'l)	12/15/10	J		
225.									
226. Mainstay Large Cap Growth Fd		None	J	T	Buy	12/10/10	J		
227.					Buy (add'l)	12/15/10	J		
228.									
229. Pimco Funds Emerging Local Bond	A	Dividend	J	T	Buy	12/10/10	J		
230.					Buy (add'l)	12/15/10	J		
231.									
232. Rydex SGI Managed Futures Strategy Fd		None	J	T	Buy	12/10/10	J		
233.					Buy (add'l)	12/15/10	J		
234.									
235. TCW Value Opportunities Fund	A	Dividend	J	T	Buy	12/10/10	J		
236.					Buy (add'l)	12/15/10	J		
237.									
238. Templeton Global Bond Fund Advisor Class	A	Dividend	J	T	Buy	12/10/10	J		

1. Income Gain Codes:
(See Columns B1 and D4)

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M = \$100,001 - \$250,000
P2 = \$5,000,001 - \$25,000,000
T = Cash Market

E = \$15,001 - \$50,000

FINANCIAL DISCLOSURE REPORT

Page 18 of 20

Name of Person Reporting

MULLEN, GRAHAM C.

Date of Report

7/25/2011

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)	(2)	(1)	(2)	(1)	(2)	(3)	(4)	(5)
	Amount Code 1 (A-H)	Type (e.g., div., rent, or int.)	Value Code 2 (J-P)	Value Method Code 3 (Q-W)	Type (e.g., buy, sell, redemption)	Date mm/dd/yy	Value Code 2 (J-P)	Gain Code 1 (A-H)	Identity of buyer/seller (if private transaction)
239.					Buy (add'l)	12/15/10	J		
240.									
241. Thornburg Int'l Value Fund	A	Dividend	J	T	Buy	12/10/10	J		
242.					Buy (add'l)	12/15/10	J		
243.									
244.									
245.									
246.									
247.									

1. Income Gain Codes:
(See Columns B1 and D4)

A = \$1,000 or less
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FINANCIAL DISCLOSURE REPORT

Page 19 of 20

Name of Person Reporting

MULLEN, GRAHAM C.

Date of Report

7/25/2011

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 28 - 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.

Lines 111, 115- These policies were inadvertently omitted from previous reports. The line entries are accurate for years 2005-2009 inclusive and this is a self-initiated amendment to those reports.

Line 113 - This policy was inadvertently omitted from previous reports. The line entry is accurate for the years 2008 and 2009 inclusive and this is a self-initiated amendment to those reports.

Line 147 - Terra Nova Royalty Corp. This sale transaction is the result of the split-up of KHD Humbolt WEDAG. That security was exempt from reporting (see my 2008 Report line 163 and explanation) and remained so until the divisive reorganization. The resulting share of KHD remains exempt. The Terra Nova Realty is reported here as an exchange and sale.

Line 143 - Frontier Comm. The initial transaction is a spinoff from Verizon followed by additional purchase and sale.

Line 139 - Contango Oil & Gas. This company spun off Contango Ore. The spun off shares are exempt from reporting.

Line 182 - ARGENTEX Mining. This is actually an additional purchase. This has been exempt from reporting but has now reached a level that reporting is required.

FINANCIAL DISCLOSURE REPORT

Page 20 of 20

Name of Person Reporting

MULLEN, GRAHAM C.

Date of Report

7/25/2011

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 WILFULLY 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