

# FINANCIAL DISCLOSURE REPORT FOR CALENDAR YEAR 2012

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>07/09/2013                       |
| <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 type="checkbox"/> Amended Report | <b>6. Reporting Period</b><br><br>01/01/2012<br>to<br>12/31/2012 |
| <b>7. Chambers or Office Address</b><br><br>230 CHARLES R. JONAS BUILDING<br>401 WEST TRADE STREET<br>CHARLOTTE, NC 28202                                                                                 |                                                                                                                                                                                                                                                                                          |                                                                  |
| <p align="center"><b>IMPORTANT NOTES:</b> The instructions accompanying this form must be followed. Complete all parts, checking the NONE box for each part where you have no reportable information.</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 HOA Board     | Royal Crest Home Owners                      |
| 3. (See Explanation 1)  | (See Explanation 1)                          |
| 4.                      |                                              |
| 5.                      |                                              |

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

☒ NONE (No reportable agreements.)

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

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Name of Person Reporting

MULLEN, GRAHAM C.

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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.)*

| DATE | SOURCE AND TYPE | INCOME<br>(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.)*

| DATE | SOURCE 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.)*

| SOURCE | DATES | LOCATION | PURPOSE | ITEMS PAID OR PROVIDED |
|--------|-------|----------|---------|------------------------|
| 1.     |       |          |         |                        |
| 2.     |       |          |         |                        |
| 3.     |       |          |         |                        |
| 4.     |       |          |         |                        |
| 5.     |       |          |         |                        |

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Name of Person Reporting  
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V. GIFTS. *(Includes those to spouse and dependent children; see pp. 28-31 of filing instructions.)*

☒ NONE *(No reportable gifts.)*

| SOURCE | DESCRIPTION | VALUE |
|--------|-------------|-------|
| 1.     |             |       |
| 2.     |             |       |
| 3.     |             |       |
| 4.     |             |       |
| 5.     |             |       |

VI. LIABILITIES. *(Includes those of spouse and dependent children; see pp. 32-33 of filing instructions.)*

☒ NONE *(No reportable liabilities.)*

| CREDITOR | DESCRIPTION | VALUE CODE |
|----------|-------------|------------|
| 1.       |             |            |
| 2.       |             |            |
| 3.       |             |            |
| 4.       |             |            |
| 5.       |             |            |

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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.)

☐ 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 = \$250,001 - \$500,000 | 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                                              |                         |

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Name of Person Reporting

MULLEN, GRAHAM C.

Date of Report

07/09/2013

## 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. IRA (See explanation)                         | B | Dividend | K | T |             |          |   |  |  |
| 21. -- Loomis Sayles Funds IT Strategic Inc. Fund |   |          |   |   | Sold (part) | 07/12/12 | J |  |  |
| 22.                                               |   |          |   |   | Sold (part) | 08/23/12 | J |  |  |
| 23.                                               |   |          |   |   | Sold (part) | 12/17/12 | J |  |  |
| 24.                                               |   |          |   |   |             |          |   |  |  |
| 25. -- Oppenheimer Int'l Bond Fund                |   |          |   |   | Sold (part) | 07/16/12 | J |  |  |
| 26.                                               |   |          |   |   | Sold (part) | 08/23/12 | J |  |  |
| 27.                                               |   |          |   |   | Sold (part) | 12/17/12 | J |  |  |
| 28.                                               |   |          |   |   |             |          |   |  |  |
| 29. -- Oppenheimer Int'l Small Co Fund            |   |          |   |   | Sold (part) | 08/23/12 | J |  |  |
| 30.                                               |   |          |   |   | Buy (add'l) | 12/17/12 | J |  |  |
| 31.                                               |   |          |   |   |             |          |   |  |  |
| 32. -- Satuit Cap Micro Cap Fund                  |   |          |   |   | Sold (part) | 01/14/12 | J |  |  |
| 33.                                               |   |          |   |   | Sold (part) | 07/12/12 | J |  |  |
| 34.                                               |   |          |   |   | Sold (part) | 12/17/12 | J |  |  |

|                                                  |                                                                                       |                                                        |                                                                                           |                                                              |                         |
|--------------------------------------------------|---------------------------------------------------------------------------------------|--------------------------------------------------------|-------------------------------------------------------------------------------------------|--------------------------------------------------------------|-------------------------|
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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                                              |                         |

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Name of Person Reporting

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Date of Report

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

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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.                                                |  |  |  |  |                |          |   |  |  |
| 36. -- Oppenheimer Gold & Sp. Minerals             |  |  |  |  | Buy<br>(add'l) | 07/12/12 | J |  |  |
| 37.                                                |  |  |  |  | Buy<br>(add'l) | 07/13/12 | J |  |  |
| 38.                                                |  |  |  |  | Sold<br>(part) | 08/23/12 | J |  |  |
| 39.                                                |  |  |  |  | Sold<br>(part) | 10/15/12 | J |  |  |
| 40.                                                |  |  |  |  |                |          |   |  |  |
| 41. -- Fidelity Advisor SPR 1 Leveraged Co Hb Fund |  |  |  |  | Sold<br>(part) | 04/16/12 | J |  |  |
| 42.                                                |  |  |  |  | Sold<br>(part) | 08/23/12 | J |  |  |
| 43.                                                |  |  |  |  | Sold<br>(part) | 12/17/12 | J |  |  |
| 44.                                                |  |  |  |  |                |          |   |  |  |
| 45. -- Permanent Portfolio Fd                      |  |  |  |  | Sold<br>(part) | 08/23/12 | J |  |  |
| 46.                                                |  |  |  |  | Sold<br>(part) | 12/17/12 | J |  |  |
| 47.                                                |  |  |  |  |                |          |   |  |  |
| 48. -- Blackrock Global Allocation                 |  |  |  |  | Sold<br>(part) | 07/12/12 | J |  |  |
| 49.                                                |  |  |  |  | Sold<br>(part) | 07/16/12 | J |  |  |
| 50.                                                |  |  |  |  | Sold<br>(part) | 08/23/12 | J |  |  |
| 51.                                                |  |  |  |  | Sold<br>(part) | 12/17/12 | J |  |  |

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

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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.                                          |  |  |  |  |                |          |   |  |  |
| 53. -- Columbia Select Large Cap Growth Fd   |  |  |  |  | Sold<br>(part) | 04/16/12 | J |  |  |
| 54.                                          |  |  |  |  | Sold<br>(part) | 08/23/12 | J |  |  |
| 55.                                          |  |  |  |  | Sold<br>(part) | 12/17/12 | J |  |  |
| 56.                                          |  |  |  |  |                |          |   |  |  |
| 57. -- Delaware Pooled TR Diversified Inc Fd |  |  |  |  | Sold<br>(part) | 07/12/12 | J |  |  |
| 58.                                          |  |  |  |  | Sold<br>(part) | 07/16/12 | J |  |  |
| 59.                                          |  |  |  |  | Sold<br>(part) | 12/17/12 | J |  |  |
| 60.                                          |  |  |  |  |                |          |   |  |  |
| 61. -- First Eagle Fds Global Fd             |  |  |  |  | Sold<br>(part) | 01/14/12 | J |  |  |
| 62.                                          |  |  |  |  | Sold<br>(part) | 07/12/12 | J |  |  |
| 63.                                          |  |  |  |  | Sold<br>(part) | 08/23/12 | J |  |  |
| 64.                                          |  |  |  |  | Sold<br>(part) | 12/17/12 | J |  |  |
| 65.                                          |  |  |  |  |                |          |   |  |  |
| 66. -- Yacktman Fd                           |  |  |  |  | Sold<br>(part) | 07/12/12 | J |  |  |
| 67.                                          |  |  |  |  | Sold<br>(part) | 08/23/12 | J |  |  |
| 68.                                          |  |  |  |  | Sold<br>(part) | 12/17/12 | J |  |  |

|                                                  |                                                                                       |                                                        |                                                                                          |                                                              |                         |
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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                                              |                         |

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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) |
| 69.                                                                                                                         |                                         |                                               |                                                 |                                           |                                                 |                         |                                 |                                |                                                                   |
| 70. -- Pimco Fds - Total Return Fd                                                                                          |                                         |                                               |                                                 |                                           | Sold<br>(part)                                  | 07/12/12                | J                               |                                |                                                                   |
| 71.                                                                                                                         |                                         |                                               |                                                 |                                           | Sold<br>(part)                                  | 07/16/12                | J                               |                                |                                                                   |
| 72.                                                                                                                         |                                         |                                               |                                                 |                                           | Sold<br>(part)                                  | 12/17/12                | J                               |                                |                                                                   |
| 73.                                                                                                                         |                                         |                                               |                                                 |                                           |                                                 |                         |                                 |                                |                                                                   |
| 74. -- Pimco AllAsset AllAuthority                                                                                          |                                         |                                               |                                                 |                                           | Buy                                             | 07/12/12                | J                               |                                |                                                                   |
| 75.                                                                                                                         |                                         |                                               |                                                 |                                           | Sold<br>(part)                                  | 08/23/12                | J                               |                                |                                                                   |
| 76.                                                                                                                         |                                         |                                               |                                                 |                                           | Sold<br>(part)                                  | 12/17/12                | J                               |                                |                                                                   |
| 77.                                                                                                                         |                                         |                                               |                                                 |                                           |                                                 |                         |                                 |                                |                                                                   |
| 78. -- Royce Premier Fd                                                                                                     |                                         |                                               |                                                 |                                           | Sold<br>(part)                                  | 08/23/12                | J                               |                                |                                                                   |
| 79.                                                                                                                         |                                         |                                               |                                                 |                                           | Sold<br>(part)                                  | 12/17/12                | J                               |                                |                                                                   |
| 80.                                                                                                                         |                                         |                                               |                                                 |                                           |                                                 |                         |                                 |                                |                                                                   |
| 81. -- Templeton Fds - TR Global Bd Advisor                                                                                 |                                         |                                               |                                                 |                                           | Sold<br>(part)                                  | 07/12/12                | J                               |                                |                                                                   |
| 82.                                                                                                                         |                                         |                                               |                                                 |                                           | Sold<br>(part)                                  | 08/23/12                | J                               |                                |                                                                   |
| 83.                                                                                                                         |                                         |                                               |                                                 |                                           | Sold<br>(part)                                  | 12/17/12                | J                               |                                |                                                                   |
| 84.                                                                                                                         |                                         |                                               |                                                 |                                           |                                                 |                         |                                 |                                |                                                                   |
| 85. -- MFS - Int'l New Discovery Fd                                                                                         |                                         |                                               |                                                 |                                           | Sold<br>(part)                                  | 07/12/12                | J                               |                                |                                                                   |

|                                                  |                                                                                                                                          |                                                                                                                                                            |                                                                                                                                                                                         |                                                                                                                                         |                         |
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| 2. Value Codes<br>(See Columns C1 and D3)        |                                                                                                                                          |                                                                                                                                                            |                                                                                                                                                                                         |                                                                                                                                         |                         |
| 3. Value Method Codes<br>(See Column C2)         | Q = Appraisal<br>U = Book Value                                                                                                          |                                                                                                                                                            |                                                                                                                                                                                         |                                                                                                                                         |                         |

# FINANCIAL DISCLOSURE REPORT

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Name of Person Reporting

MULLEN, GRAHAM C.

Date of Report

07/09/2013

## 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      |                         |                                 |                                |                                                                   |
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| 86.                                                                                                                         |                                         |                                               |                                                 |                                           | Sold<br>(part)                                  | 08/23/12                | J                               |                                |                                                                   |
| 87.                                                                                                                         |                                         |                                               |                                                 |                                           | Sold<br>(part)                                  | 12/17/12                | J                               |                                |                                                                   |
| 88.                                                                                                                         |                                         |                                               |                                                 |                                           |                                                 |                         |                                 |                                |                                                                   |
| 89. -- JP Morgan Core Bond FD Select                                                                                        |                                         |                                               |                                                 |                                           | Sold<br>(part)                                  | 07/12/12                | J                               |                                |                                                                   |
| 90.                                                                                                                         |                                         |                                               |                                                 |                                           | Sold<br>(part)                                  | 07/16/12                | J                               |                                |                                                                   |
| 91.                                                                                                                         |                                         |                                               |                                                 |                                           | Sold<br>(part)                                  | 12/17/12                | J                               |                                |                                                                   |
| 92.                                                                                                                         |                                         |                                               |                                                 |                                           |                                                 |                         |                                 |                                |                                                                   |
| 93. -- Neuberger Berman Income New Strategic<br>Fd                                                                          |                                         |                                               |                                                 |                                           | Sold<br>(part)                                  | 07/16/12                | J                               |                                |                                                                   |
| 94.                                                                                                                         |                                         |                                               |                                                 |                                           | Sold<br>(part)                                  | 12/17/12                | J                               |                                |                                                                   |
| 95.                                                                                                                         |                                         |                                               |                                                 |                                           |                                                 |                         |                                 |                                |                                                                   |
| 96. -- Nuveen Inv't Tradewinds Value Oppty<br>(See explanation.)                                                            |                                         |                                               |                                                 |                                           |                                                 |                         |                                 |                                |                                                                   |
| 97.                                                                                                                         |                                         |                                               |                                                 |                                           |                                                 |                         |                                 |                                |                                                                   |
| 98.                                                                                                                         |                                         |                                               |                                                 |                                           |                                                 |                         |                                 |                                |                                                                   |
| 99.                                                                                                                         |                                         |                                               |                                                 |                                           |                                                 |                         |                                 |                                |                                                                   |
| 100.                                                                                                                        |                                         |                                               |                                                 |                                           |                                                 |                         |                                 |                                |                                                                   |
| 101. Hondo Minerals Corp                                                                                                    |                                         | None                                          | J                                               | T                                         |                                                 |                         |                                 |                                |                                                                   |
| 102.                                                                                                                        |                                         |                                               |                                                 |                                           |                                                 |                         |                                 |                                |                                                                   |

|                                                  |                                                                                    |                                                      |                                                                                        |                                                            |                        |
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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

07/09/2013

## 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. ISORAY                                          |   | None     | J | T |      |          |   |   |  |
| 104.                                                 |   |          |   |   |      |          |   |   |  |
| 105. Valero Energy                                   | A | Dividend | J | T |      |          |   |   |  |
| 106.                                                 |   |          |   |   |      |          |   |   |  |
| 107. Mosaic                                          | A | Dividend | J | T |      |          |   |   |  |
| 108.                                                 |   |          |   |   |      |          |   |   |  |
| 109. Hecla Mining                                    | A | Dividend |   |   | Sold | 03/13/12 | J | A |  |
| 110.                                                 |   |          |   |   |      |          |   |   |  |
| 111. GDX Goldminers ETF                              | A | Dividend | J | T |      |          |   |   |  |
| 112.                                                 |   |          |   |   |      |          |   |   |  |
| 113. Curtiss-Wright                                  | A | Dividend |   |   | Sold | 03/29/12 | J |   |  |
| 114.                                                 |   |          |   |   |      |          |   |   |  |
| 115.                                                 |   |          |   |   |      |          |   |   |  |
| 116. NORTHWESTERN MUTUAL (NML)<br>INSURANCE POLICIES |   |          |   |   |      |          |   |   |  |
| 117. -- Whole Life XXX113                            | A | Dividend | K | T |      |          |   |   |  |
| 118.                                                 |   |          |   |   |      |          |   |   |  |
| 119. -- NML Whole Life XXX188                        | A | Dividend | K | T |      |          |   |   |  |

|                                                  |                                                                                    |                                                      |                                                                                        |                                                            |                        |
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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

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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|-----------------------------------------------------------------------------------------------------------------------------|-----------------------------------------|-----------------------------------------------|-------------------------------------------------|-------------------------------------------|-------------------------------------------------|-------------------------|---------------------------------|--------------------------------|-------------------------------------------------------------------|
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| 120.                                                                                                                        |                                         |                                               |                                                 |                                           |                                                 |                         |                                 |                                |                                                                   |
| 121. -- NML Whole Life XXX510                                                                                               | B                                       | Dividend                                      | K                                               | T                                         |                                                 |                         |                                 |                                |                                                                   |
| 122.                                                                                                                        |                                         |                                               |                                                 |                                           |                                                 |                         |                                 |                                |                                                                   |
| 123. -- NML Whole Life XXX698                                                                                               | A                                       | Dividend                                      | K                                               | T                                         |                                                 |                         |                                 |                                |                                                                   |
| 124.                                                                                                                        |                                         |                                               |                                                 |                                           |                                                 |                         |                                 |                                |                                                                   |
| 125. -- NML Extraord. Life 403                                                                                              | B                                       | Dividend                                      | K                                               | T                                         |                                                 |                         |                                 |                                |                                                                   |
| 126.                                                                                                                        |                                         |                                               |                                                 |                                           |                                                 |                         |                                 |                                |                                                                   |
| 127. -- NML Adjustable Comp XXX100                                                                                          | C                                       | Dividend                                      | K                                               | T                                         |                                                 |                         |                                 |                                |                                                                   |
| 128.                                                                                                                        |                                         |                                               |                                                 |                                           |                                                 |                         |                                 |                                |                                                                   |
| 129. -- NML 65 Life 913                                                                                                     | A                                       | Dividend                                      | J                                               | T                                         |                                                 |                         |                                 |                                |                                                                   |
| 130.                                                                                                                        |                                         |                                               |                                                 |                                           |                                                 |                         |                                 |                                |                                                                   |
| 131. -- NML 65 Life 473                                                                                                     | A                                       | Dividend                                      | J                                               | T                                         |                                                 |                         |                                 |                                |                                                                   |
| 132.                                                                                                                        |                                         |                                               |                                                 |                                           |                                                 |                         |                                 |                                |                                                                   |
| 133. -- NML Whole Life 437                                                                                                  | A                                       | Dividend                                      | J                                               | T                                         |                                                 |                         |                                 |                                |                                                                   |
| 134.                                                                                                                        |                                         |                                               |                                                 |                                           |                                                 |                         |                                 |                                |                                                                   |
| 135. -- NML Whole Life 800                                                                                                  |                                         | None                                          | J                                               | T                                         |                                                 |                         |                                 |                                |                                                                   |
| 136.                                                                                                                        |                                         |                                               |                                                 |                                           |                                                 |                         |                                 |                                |                                                                   |

|                                                  |                                                                                       |                                                        |                                                                                          |                                                              |                         |
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# FINANCIAL DISCLOSURE REPORT

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Name of Person Reporting

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|-----------------------------------------------------------------------------------------------------------------------------|-----------------------------------------|-----------------------------------------------|-------------------------------------------------|-------------------------------------------|-------------------------------------------------|-------------------------|---------------------------------|--------------------------------|-------------------------------------------------------------------|
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| 137.                                                                                                                        |                                         |                                               |                                                 |                                           |                                                 |                         |                                 |                                |                                                                   |
| 138. Kinross Gold                                                                                                           | A                                       | Dividend                                      |                                                 |                                           | Sold                                            | 03/13/12                | J                               | A                              |                                                                   |
| 139.                                                                                                                        |                                         |                                               |                                                 |                                           |                                                 |                         |                                 |                                |                                                                   |
| 140.                                                                                                                        |                                         |                                               |                                                 |                                           |                                                 |                         |                                 |                                |                                                                   |
| 141. Select SPDR Energy                                                                                                     | A                                       | Dividend                                      | J                                               | T                                         |                                                 |                         |                                 |                                |                                                                   |
| 142.                                                                                                                        |                                         |                                               |                                                 |                                           |                                                 |                         |                                 |                                |                                                                   |
| 143. Prudent Bear Fund                                                                                                      |                                         | None                                          | J                                               | T                                         |                                                 |                         |                                 |                                |                                                                   |
| 144.                                                                                                                        |                                         |                                               |                                                 |                                           |                                                 |                         |                                 |                                |                                                                   |
| 145. Eldorado Gold                                                                                                          | A                                       | Dividend                                      | J                                               | T                                         |                                                 |                         |                                 |                                |                                                                   |
| 146.                                                                                                                        |                                         |                                               |                                                 |                                           |                                                 |                         |                                 |                                |                                                                   |
| 147. Verizon Comm.                                                                                                          | A                                       | Dividend                                      |                                                 |                                           | Sold                                            | 09/12/12                | J                               | B                              |                                                                   |
| 148.                                                                                                                        |                                         |                                               |                                                 |                                           |                                                 |                         |                                 |                                |                                                                   |
| 149. Click Software Tech.                                                                                                   |                                         | None                                          | J                                               | T                                         |                                                 |                         |                                 |                                |                                                                   |
| 150.                                                                                                                        |                                         |                                               |                                                 |                                           |                                                 |                         |                                 |                                |                                                                   |
| 151. Chart Indus                                                                                                            |                                         | None                                          | J                                               | T                                         |                                                 |                         |                                 |                                |                                                                   |
| 152.                                                                                                                        |                                         |                                               |                                                 |                                           |                                                 |                         |                                 |                                |                                                                   |
| 153. Nanoviricides                                                                                                          |                                         | None                                          | J                                               | T                                         |                                                 |                         |                                 |                                |                                                                   |

|                                                  |                                                                                       |                                                        |                                                                                           |                                                              |                         |
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# FINANCIAL DISCLOSURE REPORT

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| 154.                                                                                                                        |                                         |                                               |                                                 |                                           |                                                 |                         |                                 |                                |                                                                   |
| 155. Neural Stem Inc.                                                                                                       |                                         | None                                          | J                                               | T                                         |                                                 |                         |                                 |                                |                                                                   |
| 156.                                                                                                                        |                                         |                                               |                                                 |                                           |                                                 |                         |                                 |                                |                                                                   |
| 157. International Stem Cell Corp.                                                                                          |                                         | None                                          | J                                               | T                                         |                                                 |                         |                                 |                                |                                                                   |
| 158.                                                                                                                        |                                         |                                               |                                                 |                                           |                                                 |                         |                                 |                                |                                                                   |
| 159. Galectin Therapeutics                                                                                                  |                                         | None                                          | J                                               | T                                         |                                                 |                         |                                 |                                |                                                                   |
| 160.                                                                                                                        |                                         |                                               |                                                 |                                           |                                                 |                         |                                 |                                |                                                                   |
| 161. Brigus Gold                                                                                                            |                                         | None                                          | J                                               | T                                         |                                                 |                         |                                 |                                |                                                                   |
| 162.                                                                                                                        |                                         |                                               |                                                 |                                           |                                                 |                         |                                 |                                |                                                                   |
| 163. Inovio Pharmaceuticals                                                                                                 |                                         | None                                          | J                                               | T                                         |                                                 |                         |                                 |                                |                                                                   |
| 164.                                                                                                                        |                                         |                                               |                                                 |                                           |                                                 |                         |                                 |                                |                                                                   |
| 165. Argentex Mining                                                                                                        |                                         | None                                          | J                                               | T                                         |                                                 |                         |                                 |                                |                                                                   |
| 166.                                                                                                                        |                                         |                                               |                                                 |                                           |                                                 |                         |                                 |                                |                                                                   |
| 167. First Trust High Income Long/Short FD                                                                                  | A                                       | Dividend                                      |                                                 |                                           | Sold                                            | 06/21/12                | J                               | A                              |                                                                   |
| 168.                                                                                                                        |                                         |                                               |                                                 |                                           |                                                 |                         |                                 |                                |                                                                   |
| 169. CenturyLink Inc.                                                                                                       | 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

07/09/2013

**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.                                                                                                                        |                                         |                                               |                                                 |                                           |                                                 |                         |                                 |                                |                                                                   |
| 172. Morgan Stanley Smith Barney Unified<br>Managed Acct-est12/10/10                                                        |                                         |                                               |                                                 |                                           |                                                 |                         |                                 |                                |                                                                   |
| 173. -- Blackrock Inflation Preferred Bond Port                                                                             | A                                       | Dividend                                      |                                                 |                                           | Sold                                            | 07/19/12                | J                               | A                              |                                                                   |
| 174.                                                                                                                        |                                         |                                               |                                                 |                                           |                                                 |                         |                                 |                                |                                                                   |
| 175. -- Eaton Vance Commodity Strategy Fd                                                                                   | A                                       | Dividend                                      |                                                 |                                           | Sold                                            | 07/19/12                | J                               | A                              |                                                                   |
| 176.                                                                                                                        |                                         |                                               |                                                 |                                           |                                                 |                         |                                 |                                |                                                                   |
| 177. -- Eaton Vance Income Fund of Boston                                                                                   | A                                       | Dividend                                      |                                                 |                                           | Sold                                            | 07/19/12                | J                               | A                              |                                                                   |
| 178.                                                                                                                        |                                         |                                               |                                                 |                                           |                                                 |                         |                                 |                                |                                                                   |
| 179. -- Goldman Sachs TR Growth Opp. Fd.                                                                                    | A                                       | Dividend                                      |                                                 |                                           | Sold                                            | 07/19/12                | J                               |                                |                                                                   |
| 180.                                                                                                                        |                                         |                                               |                                                 |                                           |                                                 |                         |                                 |                                |                                                                   |
| 181. -- Goldman Sachs Absolute Return Tracker                                                                               | A                                       | Dividend                                      |                                                 |                                           | Sold                                            | 07/19/12                | J                               |                                |                                                                   |
| 182.                                                                                                                        |                                         |                                               |                                                 |                                           |                                                 |                         |                                 |                                |                                                                   |
| 183. -- Ing Global Real Estate                                                                                              | A                                       | Dividend                                      |                                                 |                                           | Sold                                            | 07/19/12                | J                               | A                              |                                                                   |
| 184.                                                                                                                        |                                         |                                               |                                                 |                                           |                                                 |                         |                                 |                                |                                                                   |
| 185. -- Ivy Mid Cap Growth 1                                                                                                | A                                       | Dividend                                      |                                                 |                                           | Sold                                            | 07/19/12                | J                               | A                              |                                                                   |
| 186.                                                                                                                        |                                         |                                               |                                                 |                                           |                                                 |                         |                                 |                                |                                                                   |
| 187. -- Legg Mason Western Asset Int. Muni.                                                                                 | A                                       | Dividend                                      |                                                 |                                           | Sold                                            | 07/19/12                | 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

07/09/2013

## 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. -- Mainstay Large Cap Growth Fd                                                                                        | A                                       | Dividend                                      |                                                 |                                           | Sold                                            | 04/13/12                | J                               |                                |                                                                   |
| 190.                                                                                                                        |                                         |                                               |                                                 |                                           |                                                 |                         |                                 |                                |                                                                   |
| 191. -- Managers Systematic MD CP                                                                                           | A                                       | Dividend                                      |                                                 |                                           | Sold                                            | 07/19/12                | J                               | A                              |                                                                   |
| 192.                                                                                                                        |                                         |                                               |                                                 |                                           |                                                 |                         |                                 |                                |                                                                   |
| 193. -- Pimco Funds Emerging Local Bond                                                                                     | A                                       | Dividend                                      |                                                 |                                           | Sold                                            | 04/13/12                | J                               |                                |                                                                   |
| 194.                                                                                                                        |                                         |                                               |                                                 |                                           |                                                 |                         |                                 |                                |                                                                   |
| 195. -- Pimco Short Term Fund CL P                                                                                          | A                                       | Dividend                                      |                                                 |                                           | Sold                                            | 07/19/12                | J                               | A                              |                                                                   |
| 196.                                                                                                                        |                                         |                                               |                                                 |                                           |                                                 |                         |                                 |                                |                                                                   |
| 197. -- Guggenheim                                                                                                          | A                                       | Dividend                                      |                                                 |                                           | Sold                                            | 07/19/12                | J                               | A                              |                                                                   |
| 198.                                                                                                                        |                                         |                                               |                                                 |                                           |                                                 |                         |                                 |                                |                                                                   |
| 199. -- Thornburg Int'l Value Fund                                                                                          | A                                       | Dividend                                      |                                                 |                                           | Sold                                            | 07/19/12                | J                               | A                              |                                                                   |
| 200.                                                                                                                        |                                         |                                               |                                                 |                                           |                                                 |                         |                                 |                                |                                                                   |
| 201.                                                                                                                        |                                         |                                               |                                                 |                                           |                                                 |                         |                                 |                                |                                                                   |
| 202. Mast Therapeutics (See Explanation.)                                                                                   |                                         | None                                          | J                                               | T                                         | Buy                                             | 03/29/12                | J                               |                                |                                                                   |
| 203.                                                                                                                        |                                         |                                               |                                                 |                                           |                                                 |                         |                                 |                                |                                                                   |
| 204. Alliance Grain Traders                                                                                                 |                                         | None                                          | J                                               | T                                         | Buy                                             | 12/28/12                | J                               |                                |                                                                   |

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

# FINANCIAL DISCLOSURE REPORT

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Name of Person Reporting

MULLEN, GRAHAM C.

Date of Report

07/09/2013

## 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) |
| 205.                                                                                                                        |                                         |                                               |                                                 |                                           |                                                 |                         |                                 |                                |                                                                   |
| 206. Clearbridge Energy (EMO)                                                                                               | A                                       | Dividend                                      | J                                               | T                                         | Buy                                             | 03/29/12                | J                               |                                |                                                                   |
| 207.                                                                                                                        |                                         |                                               |                                                 |                                           | Buy<br>(add'l)                                  | 04/30/12                | J                               |                                |                                                                   |
| 208.                                                                                                                        |                                         |                                               |                                                 |                                           |                                                 |                         |                                 |                                |                                                                   |
| 209. First Trust Cloud Computing (See<br>explanation.)                                                                      | A                                       | Dividend                                      | J                                               | T                                         |                                                 |                         |                                 |                                |                                                                   |
| 210.                                                                                                                        |                                         |                                               |                                                 |                                           |                                                 |                         |                                 |                                |                                                                   |
| 211. Star Scientific                                                                                                        |                                         | None                                          |                                                 |                                           | Buy                                             | 06/18/12                | J                               |                                |                                                                   |
| 212.                                                                                                                        |                                         |                                               |                                                 |                                           | Buy<br>(add'l)                                  | 08/30/12                | J                               |                                |                                                                   |
| 213.                                                                                                                        |                                         |                                               |                                                 |                                           | Sold                                            | 10/18/12                | J                               | A                              |                                                                   |
| 214.                                                                                                                        |                                         |                                               |                                                 |                                           |                                                 |                         |                                 |                                |                                                                   |
| 215. Thomas PPTY GRP                                                                                                        |                                         | None                                          | J                                               | T                                         | Buy                                             | 08/23/12                | J                               |                                |                                                                   |
| 216.                                                                                                                        |                                         |                                               |                                                 |                                           |                                                 |                         |                                 |                                |                                                                   |
| 217.                                                                                                                        |                                         |                                               |                                                 |                                           |                                                 |                         |                                 |                                |                                                                   |
| 218. Imnospec                                                                                                               | A                                       | Dividend                                      |                                                 |                                           | Sold                                            | 04/30/12                | J                               | A                              |                                                                   |
| 219.                                                                                                                        |                                         |                                               |                                                 |                                           |                                                 |                         |                                 |                                |                                                                   |
| 220. US Oil Fd                                                                                                              | A                                       | Dividend                                      |                                                 |                                           | Sold                                            | 06/18/12                | J                               |                                |                                                                   |
| 221.                                                                                                                        |                                         |                                               |                                                 |                                           |                                                 |                         |                                 |                                |                                                                   |

|                                           |                                                                                                               |                                                      |                                                                                        |                                                            |                        |
|-------------------------------------------|---------------------------------------------------------------------------------------------------------------|------------------------------------------------------|----------------------------------------------------------------------------------------|------------------------------------------------------------|------------------------|
| 1. Income Gain Codes:                     | A ~\$1,000 or less<br>(See Columns B1 and D4)                                                                 | 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) | F ~\$50,001 - \$100,000<br>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

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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.<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) |
| 222.                                                                                                                        |                                         |                                               |                                                 |                                           |                                                 |                         |                                 |                                |                                                                   |
| 223. SELF-INITIATED AMENDMENT FOR<br>2011 (See explanation.)                                                                |                                         |                                               |                                                 |                                           |                                                 |                         |                                 |                                |                                                                   |
| 224. US Oil Fd                                                                                                              | A                                       | Dividend                                      | J                                               | T                                         | Buy                                             | 01/31/11                | J                               |                                |                                                                   |
| 225. Inmospec                                                                                                               | A                                       | Dividend                                      | J                                               | T                                         | Buy                                             | 03/24/11                | J                               |                                |                                                                   |
| 226. First Trust Cloud Computing                                                                                            | A                                       | Dividend                                      | J                                               | T                                         | Buy                                             | 08/30/11                | J                               |                                |                                                                   |
| 227.                                                                                                                        |                                         |                                               |                                                 |                                           |                                                 |                         |                                 |                                |                                                                   |
| 228.                                                                                                                        |                                         |                                               |                                                 |                                           |                                                 |                         |                                 |                                |                                                                   |
| 229.                                                                                                                        |                                         |                                               |                                                 |                                           |                                                 |                         |                                 |                                |                                                                   |
| 230.                                                                                                                        |                                         |                                               |                                                 |                                           |                                                 |                         |                                 |                                |                                                                   |
| 231.                                                                                                                        |                                         |                                               |                                                 |                                           |                                                 |                         |                                 |                                |                                                                   |
| 232.                                                                                                                        |                                         |                                               |                                                 |                                           |                                                 |                         |                                 |                                |                                                                   |
| 233.                                                                                                                        |                                         |                                               |                                                 |                                           |                                                 |                         |                                 |                                |                                                                   |

|                                                  |                                                                                       |                                                        |                                                                                          |                                                              |                         |
|--------------------------------------------------|---------------------------------------------------------------------------------------|--------------------------------------------------------|------------------------------------------------------------------------------------------|--------------------------------------------------------------|-------------------------|
| 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

07/09/2013

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

Explanation of changes made to Part I.

I have deleted reference to the Department of Political Science UNC Charlotte because I have no realistic likelihood of teaching there again. If that should become a possibility, I will, of course, report that in the future.

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

Line 96 - This asset is apparently reported in error. Can find no record and do not know why it is reported. Will not report it further.

Line 172 - The assets within the managed account are included in this report on lines 173 - 199, inclusive. The Managed Account has been terminated.

Line 202 - Mast Therapeutics was initially purchased as Adventrx Pharmaceuticals Inc. Its name has been changed to Mast Therapeutics (MSTX)

Line 209 - This is a transaction for First Trust Cloud Computing, which was bought in 2011 but inadvertently omitted from that report. (See also the explanation for Lines 220 - 222, which constitutes a Self-Initiated Amendment to the 2011 Report.)

Lines (223) and 224 - 226 - These transactions were inadvertently omitted from the 2011 Report. This is a Self-Initiated Amendment to the 2011 Report.

# FINANCIAL DISCLOSURE REPORT

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Name of Person Reporting

MULLEN, GRAHAM C.

Date of Report

07/09/2013

## 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