OGE Form 278 (Rev. 12/2011)
5 C.F.R. Part 2634
U.S. Office of Government Ethics

Executive Branch Personnel PUBLIC FINANCIAL DISCLOSURE REPORT

Form Approved:
OMB No. 3209 - 0001

Date of Appointment, Candidacy, Election, or Nomination *(Month, Day, Year)*	Reporting Status (Check Appropriate Boxes)	Incumbent	Calendar Year Covered by Report	New Entrant, Nominee, or Candidate	Termination Filer	Termination Date *(If Applicable) (Month, Day, Year)*
		☒	2012	☐	☐	

Reporting Individual's Name	Last Name	First Name and Middle Initial
	Mabus	Raymond E
Position for Which Filing	Title of Position	Department or Agency *(If Applicable)*
	Secretary of the Navy	Department of Defense
Location of Present Office (or forwarding address)	Address *(Number, Street, City, State, and ZIP Code)*	Telephone No. *(Include Area Code)*
	1000 Navy Pentagon, Washington DC 20350	(703) 695-3131
Position(s) Held with the Federal Government During the Preceding 12 Months *(If Not Same as Above)*	Title of Position(s) and Date(s) Held	
Presidential Nominees Subject to Senate Confirmation	Name of Congressional Committee Considering Nomination	Do You Intend to Create a Qualified Diversified Trust?
	Not Applicable	☐ Yes ☐ No

Certification	Signature of Reporting Individual	Date *(Month, Day, Year)*
I CERTIFY that the statements I have made on this form and all attached schedules are true, complete and correct to the best of my knowledge.	Ray Mabus	May 30 2013
Other Review (If desired by agency)	Signature of Other Reviewer	Date *(Month, Day, Year)*
Agency Ethics Official's Opinion	Signature of Designated Agency Ethics Official/Reviewing Official	Date *(Month, Day, Year)*
On the basis of information contained in this report, I conclude that the filer is in compliance with applicable laws and regulations (subject to any comments in the box below).	L. Brann	7 JUNE 2013
Office of Government Ethics Use Only MW 6/10/13	Signature	Date *(Month, Day, Year)*
	Patrick Hyde	6-20-13

Comments of Reviewing Officials *(If additional space is required, use the reverse side of this sheet)*

(Check box if filing extension granted & indicate number of days _____) ☐

(Check box if comments are continued on the reverse side) ☐

Fee for Late Filing

Any individual who is required to file this report and does so more than 30 days after the date the report is required to be filed, or, if an extension is granted, more than 30 days after the last day of the filing extension period, shall be subject to a $200 fee.

Reporting Periods

Incumbents: The reporting period is the preceding calendar year except Part II of Schedule C and Part I of Schedule D where you must also include the filing year up to the date you file. Part II of Schedule D is not applicable.

Termination Filers: The reporting period begins at the end of the period covered by your previous filing and ends at the date of termination. Part II of Schedule D is not applicable.

Nominees, New Entrants and Candidates for President and Vice President:

Schedule A–The reporting period for income (BLOCK C) is the preceding calendar year and the current calendar year up to the date of filing. Value assets as of any date you choose that is within 31 days of the date of filing.

Schedule B–Not applicable.

Schedule C, Part I (Liabilities)–The reporting period is the preceding calendar year and the current calendar year up to any date you choose that is within 31 days of the date of filing.

Schedule C, Part II (Agreements or Arrangements)–Show any agreements or arrangements as of the date of filing.

Schedule D–The reporting period is the preceding two calendar years and the current calendar year up to the date of filing.

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JUN 10 2013

Supersedes Prior Editions.

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Reporting Individual's Name	SCHEDULE A	Page Number
Mabus, Raymond E		2 of 20

Assets and Income	Valuation of Assets at close of reporting period													Income: type and amount. If "None (or less than $201)" is checked, no other entry is needed in Block C for that item.																
BLOCK A	BLOCK B																BLOCK C													
																	Type				Amount										
For you, your spouse, and dependent children, report each asset held for investment or the production of income which had a fair market value exceeding $1,000 at the close of the reporting period, or which generated more than $200 in income during the reporting period, together with such income. For yourself, also report the source and actual amount of earned income exceeding $200 (other than from the U.S. Government). For your spouse, report the source but not the amount of earned income of more than $1,000 (except report the actual amount of any honoraria over $200 of your spouse). None ☐	None (or less than $1,001)	$1,001 - $15,000	$15,001 - $50,000	$50,001 - $100,000	$100,001 - $250,000	$250,001 - $500,000	$500,001 - $1,000,000	Over $1,000,000*	$1,000,001 - $5,000,000	$5,000,001 - $25,000,000	$25,000,001 - $50,000,000	Over $50,000,000	Excepted Investment Fund	Excepted Trust	Qualified Trust	Dividends	Rent and Royalties	Interest	Capital Gains	None (or less than $201)	$201 - $1,000	$1,001 - $2,500	$2,501 - $5,000	$5,001 - $15,000	$15,001 - $50,000	$50,001 - $100,000	$100,001 - $1,000,000	Over $1,000,000*	$1,000,001 - $5,000,000	Over $5,000,000	Other Income (Specify Type & Actual Amount)	Date (*Mo., Day, Yr.*) Only if Honoraria
Examples: Central Airlines Common				x												x						x									
Examples: Doe Jones & Smith, Hometown, State			x																											Law Partnership Income $130,000	
Examples: Kempstone Equity Fund					x								x										x								
Examples: IRA: Heartland 500 Index Fund							x						x											x							
1 AXP American Express Common		X																		X											
2 AZO Auto Zone					X															X											
3 DIA SPDR Dow Jones Ind. Avg ETF					X								X											X							
4 EEB Guggenheim Bric ETF			X										X								X										
5 EEM Ishares MSCI Emerging Mkts Index ETF				X									X											X							
6 EPP Ishares MSCI Pacific Ex-Japan ETF		X											X								X										

* This category applies only if the asset/income is solely that of the filer's spouse or dependent children. If the asset/income is either that of the filer or jointly held by the filer with the spouse or dependent children, mark the other higher categories of value, as appropriate.

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Reporting Individual's Name	SCHEDULE A continued (Use only if needed)	Page Number
Mabus, Raymond E		3 of 20

Assets and Income	Valuation of Assets at close of reporting period														Income: type and amount. If "None (or less than $201)" is checked, no other entry is needed in Block C for that item.															
BLOCK A	BLOCK B														BLOCK C															
															Type				Amount											
	None (or less than $1,001)	$1,001 - $15,000	$15,001 - $50,000	$50,001 - $100,000	$100,001 - $250,000	$250,001 - $500,000	$500,001 - $1,000,000	Over $1,000,000*	$1,000,001 - $5,000,000	$5,000,001 - $25,000,000	$25,000,001 - $50,000,000	Over $50,000,000	Excepted Investment Fund	Excepted Trust	Qualified Trust	Dividends	Rent and Royalties	Interest	Capital Gains	None (or less than $201)	$201 - $1,000	$1,001 - $2,500	$2,501 - $5,000	$5,001 - $15,000	$15,001 - $50,000	$50,001 - $100,000	$100,001 - $1,000,000	Over $1,000,000*	$1,000,001 - $5,000,000	Over $5,000,000	Other Income (Specify Type & Actual Amount)	Date (Mo., Day, Yr.) Only if Honoraria
1 FSNN Fusion Telecommunications INTL Common		X																	X											
2 GLD SPDR Gold TR Gold Shares ETF				X									X							X										
3 HBHC Hancock Holding Co. Common				X												X						X								
4 IJK Ishares Trust S&P Midcap 400 Growth Index ETF				X									X								X									
5 ILF Ishares S&P Latin America 40 Index ETF			X										X								X									
6 IVV Ishares Tr. S&P 500 FD ETF					X								X												X					
7 IVW Ishares S&P 500 Growth Index FD ETF				X									X									X								
8 DVY Ishares TR Dow Jones Select Dividend Index FD ETF		X											X							X										
9 IWD Ishares Russell 1000 Value Ind Fund				X									X									X								

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Reporting Individual's Name	SCHEDULE A continued (Use only if needed)	Page Number
Mabus, Raymond E		4 of 20

Assets and Income		Valuation of Assets at close of reporting period												Income: type and amount. If "None (or less than $201)" is checked, no other entry is needed in Block C for that item.														
BLOCK A		BLOCK B															BLOCK C												
																	Type				Amount										
		None (or less than $1,001)	$1,001 - $15,000	$15,001 - $50,000	$50,001 - $100,000	$100,001 - $250,000	$250,001 - $500,000	$500,001 - $1,000,000	Over $1,000,000*	$1,000,001 - $5,000,000	$5,000,001 - $25,000,000	$25,000,001 - $50,000,000	Over $50,000,000	Excepted Investment Fund	Excepted Trust	Qualified Trust	Dividends	Rent and Royalties	Interest	Capital Gains	None (or less than $201)	$201 - $1,000	$1,001 - $2,500	$2,501 - $5,000	$5,001 - $15,000	$15,001 - $50,000	$50,001 - $100,000	$100,001 - $1,000,000	Over $1,000,000*	$1,000,001 - $5,000,000	Over $5,000,000	Other Income (Specify Type & Actual Amount)	Date (Mo., Day, Yr.) Only if Honoraria
1	IWM Ishares Russell 2000 Index FD ETF			X										X												X						
2	IWN Ishares TR Russell 2000 Value Index FD ETF				X									X									X									
3	IWO Ishares Tr Russell 2000 Growth Index FD ETF				X									X								X										
4	MOO Market Vectors ETF TR Agribusiness ETF FD	X												X											X							
5	QQQ Powershares QQQ TR Ser FD ETF					X								X													X					
6	RSP Rydex S&P Equal Weight ETF FD ETF				X									X									X									
7	SPY Spdr S&P TR FD ETF			X										X								X										
8	VTI Vanguard Total Stock Market FD ETF					X								X												X						
9	WFC Wells Fargo & Co NEW Common		X																		X											

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Assets and Income	Valuation of Assets at close of reporting period													Income: type and amount. If "None (or less than $201)" is checked, no other entry is needed in Block C for that item.															
BLOCK A	BLOCK B													BLOCK C															
														Type				Amount											
	None (or less than $1,001)	$1,001 - $15,000	$15,001 - $50,000	$50,001 - $100,000	$100,001 - $250,000	$250,001 - $500,000	$500,001 - $1,000,000	Over $1,000,000*	$1,000,001 - $5,000,000	$5,000,001 - $25,000,000	$25,000,001 - $50,000,000	Over $50,000,000	Excepted Investment Fund	Excepted Trust	Qualified Trust	Dividends	Rent and Royalties	Interest	Capital Gains	None (or less than $201)	$201 - $1,000	$1,001 - $2,500	$2,501 - $5,000	$5,001 - $15,000	$15,001 - $50,000	$50,001 - $100,000	$100,001 - $1,000,000	Over $1,000,000*	$1,000,001 - $5,000,000	Over $5,000,000	Other Income (Specify Type & Actual Amount)	Date (Mo., Day, Yr.) Only if Honoraria
1 XLK Select Sector Spdr Technology FD ETF			X										X										X							
2 XLY Select Sector Spdr Consumer Discret. ETF	X												X									X								
3 Fusion Telecommunications Pref. Warrants 2,995@1.67 expire 6/13/14	X																			X										value not readily ascertainable	
4 Gautier MS Util Dist Coupon 5.125% Mature 03/01/16 Matured 6/1/12	X																	X		X											
5 Gulfport Miss RFDG Coupon 5% Mature 03/01/13		X																X			X										
6 Harrison CNTY MISS SCH Dist Coupon 5% Mature 03/01/13			X															X				X									
7 Jackson ST UNIV EDL Bldg Corp Coupon 5% Pref REF Matured 05/01/12	X																	X			X										
8 Mississippi DEV BK SPL OBLIG Coupon 4.45% mature 10/01/14 Matured 04/11/12	X																	X			X										
9 Mississippi DEV BK SPL OBLIG Coupon 4.4% mature 07/01/15- matured 07/02/12	X																	X			X										

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Assets and Income	Valuation of Assets at close of reporting period													Income: type and amount. If "None (or less than $201)" is checked, no other entry is needed in Block C for that item.															
BLOCK A	BLOCK B													BLOCK C															
														Type				Amount											
	None (or less than $1,001)	$1,001 - $15,000	$15,001 - $50,000	$50,001 - $100,000	$100,001 - $250,000	$250,001 - $500,000	$500,001 - $1,000,000	Over $1,000,000*	$1,000,001 - $5,000,000	$5,000,001 - $25,000,000	$25,000,001 - $50,000,000	Over $50,000,000	Excepted Investment Fund	Excepted Trust	Qualified Trust	Dividends	Rent and Royalties	Interest	Capital Gains	None (or less than $201)	$201 - $1,000	$1,001 - $2,500	$2,501 - $5,000	$5,001 - $15,000	$15,001 - $50,000	$50,001 - $100,000	$100,001 - $1,000,000	Over $1,000,000*	$1,000,001 - $5,000,000	Over $5,000,000	Other Income (Specify Type & Actual Amount)	Date (Mo., Day, Yr.) Only if Honoraria
1 Mississippi DEV BK SPL OBLIG Coupon 4.25% Mature 09/01/18 Matured 10/18/12	X																X			X										
2 Mississippi DEV BK SPL OBLIG Coupon 5% Mature 09/01/32 Matured 09/04/12	X																X			X										
3 Mississippi DEV BK SPL OBLIG Coupon 5% Mature 12/01/25			X														X				X									
4 Mississippi DEV BK SPL OBLIG Coupon 5% Mature 01/01/16			X														X			X										
5 Mississippi DEV BK SPL OBLIG Coupon 5.5% Mature 01/01/18			X														X				X									
6 Mississippi State G/O Ser D coupon 4.4% Mature 07/01/18		X															X			X										
7 Mississippi ST RFDG Coupon 5.75% Mature 12/01/13		X															X			X										
8 Mississippi ST CAP IMP G/O Coupon 5% Pre-Ref 11/01/12@100	X																X			X										
9 Mississippi ST G.O. 2003 - A Coupon 5% Mature 11/01/12	X																X				X									

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Assets and Income	Valuation of Assets at close of reporting period													Income: type and amount. If "None (or less than $201)" is checked, no other entry is needed in Block C for that item.															
BLOCK A	BLOCK B													BLOCK C															
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	None (or less than $1,001)	$1,001 - $15,000	$15,001 - $50,000	$50,001 - $100,000	$100,001 - $250,000	$250,001 - $500,000	$500,001 - $1,000,000	Over $1,000,000*	$1,000,001 - $5,000,000	$5,000,001 - $25,000,000	$25,000,001 - $50,000,000	Over $50,000,000	Excepted Investment Fund	Excepted Trust	Qualified Trust	Dividends	Rent and Royalties	Interest	Capital Gains	None (or less than $201)	$201 - $1,000	$1,001 - $2,500	$2,501 - $5,000	$5,001 - $15,000	$15,001 - $50,000	$50,001 - $100,000	$100,001 - $1,000,000	Over $1,000,000*	$1,000,001 - $5,000,000	Over $5,000,000	Other Income (Specify Type & Actual Amount)	Date (Mo., Day, Yr.) Only if Honoraria
1 Mississippi ST RFDG -NTS Coupon 4.25% Mature 12/01/19				X														X				X								
2 Olive Branch Miss Rev RFDG-TAX Coupon 3.85% Mature 10/01/14			X															X			X									
3 University MISS EDL BLDG Corp Coupon 4% Mature 10/01/16			X															X			X									
4 Western Asset Gov Money Market FD		X											X							X										
5 IRA / EWZ Ishares MSCI Brazil Index FD ETF	X												X							X											
6 IRA / IVV Ishares Tr S&P 500 Index FD ETF		X											X							X										
7 IRA / EEM Ishares MSCI Emerging Mkts Index FD ETF		X											X							X										
8 IRA / IWM Ishares Russell 2000 Index FD ETF		X											X							X										
9 IRA / MOO Market Vectors ETF Agribusiness ETF Sold	X												X							X										

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Assets and Income	Valuation of Assets at close of reporting period													Income: type and amount. If "None (or less than $201)" is checked, no other entry is needed in Block C for that item.															
BLOCK A	BLOCK B													BLOCK C															
														Type				Amount											
	None (or less than $1,001)	$1,001 - $15,000	$15,001 - $50,000	$50,001 - $100,000	$100,001 - $250,000	$250,001 - $500,000	$500,001 - $1,000,000	Over $1,000,000*	$1,000,001 - $5,000,000	$5,000,001 - $25,000,000	$25,000,001 - $50,000,000	Over $50,000,000	Excepted Investment Fund	Excepted Trust	Qualified Trust	Dividends	Rent and Royalties	Interest	Capital Gains	None (or less than $201)	$201 - $1,000	$1,001 - $2,500	$2,501 - $5,000	$5,001 - $15,000	$15,001 - $50,000	$50,001 - $100,000	$100,001 - $1,000,000	Over $1,000,000*	$1,000,001 - $5,000,000	Over $5,000,000	Other Income (Specify Type & Actual Amount)	Date (Mo., Day, Yr.) Only if Honoraria
1 IRA / QQQ Powershares QQQ TR ETF		X											X							X											
2 IRA / SPY Spdr S&P 500 ETF		X											X							X											
3 IRA / GLD Spdr Gold TR Gold Shares		X											X							X											
4 IRA / DIA Spdr Dow Jones Indl Avg ETF		X											X							X											
5 IRA / XLK Select Sector Spdr Technology ETF		X											X							X											
6 IRA / VDC Vanguard Consumer Staples ETF		X											X							X											
7 IRA / VTI Vanguard Total Stock Mkt ETF		X											X							X											
8 IRA / SHY Ishares Barclays 1-3 year Treas Bond Fund ETF		X											X							X											
9 IRA / BIL Spdr Ser Tr Barclays 1-3 Month T-Bill ETF		X											X							X											

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Assets and Income	Valuation of Assets at close of reporting period													Income: type and amount. If "None (or less than $201)" is checked, no other entry is needed in Block C for that item.															
BLOCK A	BLOCK B													BLOCK C															
														Type				Amount											
	None (or less than $1,001)	$1,001 - $15,000	$15,001 - $50,000	$50,001 - $100,000	$100,001 - $250,000	$250,001 - $500,000	$500,001 - $1,000,000	Over $1,000,000*	$1,000,001 - $5,000,000	$5,000,001 - $25,000,000	$25,000,001 - $50,000,000	Over $50,000,000	Excepted Investment Fund	Excepted Trust	Qualified Trust	Dividends	Rent and Royalties	Interest	Capital Gains	None (or less than $201)	$201 - $1,000	$1,001 - $2,500	$2,501 - $5,000	$5,001 - $15,000	$15,001 - $50,000	$50,001 - $100,000	$100,001 - $1,000,000	Over $1,000,000*	$1,000,001 - $5,000,000	Over $5,000,000	Other Income (Specify Type & Actual Amount)	Date (Mo., Day, Yr.) Only if Honoraria
1 IRA / Dreyfus Money Mkt Inst. Gov Securities Series Fund			X										X							X											
2 BDP Bank Dep. Program Citi			X										X							X											
3 DC/ Mississippi Dev. BK SPL OBLIG sold 4784.00	X																			X											
4																															
5																															
6																															
7																															
8																															
9																															

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Assets and Income — BLOCK A

For you, your spouse, and dependent children, report each asset held for investment or the production of income which had a fair market value exceeding $1,000 at the close of the reporting period, or which generated more than $200 in income during the reporting period, together with such income.

For yourself, also report the source and actual amount of earned income exceeding $200 (other than from the U.S. Government). For your spouse, report the source but not the amount of earned income of more than $1,000 (except report the actual amount of any honoraria over $200 of your spouse).

None ☐

Valuation of Assets at close of reporting period — BLOCK B

Income: type and amount. If "None (or less than $201)" is checked, no other entry is needed in Block C for that item. — BLOCK C

	Assets and Income	None (or less than $1,001)	$1,001 - $15,000	$15,001 - $50,000	$50,001 - $100,000	$100,001 - $250,000	$250,001 - $500,000	$500,001 - $1,000,000	Over $1,000,000*	$1,000,001 - $5,000,000	$5,000,001 - $25,000,000	$25,000,001 - $50,000,000	Over $50,000,000	Excepted Investment Fund	Excepted Trust	Qualified Trust	Type: Dividends	Type: Rent and Royalties	Type: Interest	Type: Capital Gains	Amount: None (or less than $201)	Amount: $201 - $1,000	Amount: $1,001 - $2,500	Amount: $2,501 - $5,000	Amount: $5,001 - $15,000	Amount: $15,001 - $50,000	Amount: $50,001 - $100,000	Amount: $100,001 - $1,000,000	Amount: Over $1,000,000*	Amount: $1,000,001 - $5,000,000	Amount: Over $5,000,000	Other Income (Specify Type & Actual Amount)	Date (*Mo., Day, Yr.*) Only if Honoraria
Examples	Central Airlines Common				x												x						x									
	Doe Jones & Smith, Hometown, State			x																											Law Partnership Income $130,000	
	Kempstone Equity Fund					x								x										x								
	IRA: Heartland 500 Index Fund							x						x											x							
1	DC/Citibank Bank Deposit Program		x																		x											
2	DC/HBHC Hancock Hldg Co Common			x													x					x										
3	DC/IWV Ishares Russell 3000 Index FD ETF			x										x								x										
4	DC/AGTHX American Growth FD of America A			x										x									x									
5	DC/Sonic Corp			x																	x											
6	DC/VTI Vanguard TTL STK MKT ETF		x											x							x											

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Assets and Income	Valuation of Assets at close of reporting period													Income: type and amount. If "None (or less than $201)" is checked, no other entry is needed in Block C for that item.															
BLOCK A	BLOCK B													BLOCK C															
														Type				Amount											
	None (or less than $1,001)	$1,001 - $15,000	$15,001 - $50,000	$50,001 - $100,000	$100,001 - $250,000	$250,001 - $500,000	$500,001 - $1,000,000	Over $1,000,000*	$1,000,001 - $5,000,000	$5,000,001 - $25,000,000	$25,000,001 - $50,000,000	Over $50,000,000	Excepted Investment Fund	Excepted Trust	Qualified Trust	Dividends	Rent and Royalties	Interest	Capital Gains	None (or less than $201)	$201 - $1,000	$1,001 - $2,500	$2,501 - $5,000	$5,001 - $15,000	$15,001 - $50,000	$50,001 - $100,000	$100,001 - $1,000,000	Over $1,000,000*	$1,000,001 - $5,000,000	Over $5,000,000	Other Income (Specify Type & Actual Amount)	Date (Mo., Day, Yr.) Only if Honoraria
1 DC/SPY Spdr Trust Series 1 ETF			X										X								X										
2 D/VWO Vanguard MSCI Emerging Markets ETF		X											X							X											
3 DC/Washington Mutual Investors Mutual FUND	X												X											X							
4 DC/IWD Ishares Russell 1000 Idx ETF		X											X							X											
5 IJK Ishares S&P Mid Cap 400 Growth ETF		X											X							X											
6 DC/ QQQ Powershares QQQ Trust ETF		X											X							X											
7 DC//IVV S&P 500 Index Fund ETF		X											X							X											
8 DC/DIA Spdr DJIA Trust ETF		X											X							X											
9																																

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Assets and Income	Valuation of Assets at close of reporting period													Income: type and amount. If "None (or less than $201)" is checked, no other entry is needed in Block C for that item.															
BLOCK A	BLOCK B													BLOCK C															
														Type				Amount											
	None (or less than $1,001)	$1,001 - $15,000	$15,001 - $50,000	$50,001 - $100,000	$100,001 - $250,000	$250,001 - $500,000	$500,001 - $1,000,000	Over $1,000,000*	$1,000,001 - $5,000,000	$5,000,001 - $25,000,000	$25,000,001 - $50,000,000	Over $50,000,000	Excepted Investment Fund	Excepted Trust	Qualified Trust	Dividends	Rent and Royalties	Interest	Capital Gains	None (or less than $201)	$201 - $1,000	$1,001 - $2,500	$2,501 - $5,000	$5,001 - $15,000	$15,001 - $50,000	$50,001 - $100,000	$100,001 - $1,000,000	Over $1,000,000*	$1,000,001 - $5,000,000	Over $5,000,000	Other Income (Specify Type & Actual Amount)	Date (Mo., Day, Yr.) Only if Honoraria
1 ARIEL FOCUS FUND			X										X								X										
2 CLIPPER FUND			X										X								X										
3 DELAFIELD FUND			X										X									X									
4 DODGE & COX STOCK FUND			X										X								X										
5 FPA PARAMOUNT FUND			X										X							X											
6 KEELEY ALL CAP VALUE FUND			X										X							X											
7 LONGLEAF PARTNERS FUND			X										X								X		X								
8 MADISON MOSAIC MID-CAP FUND			X										X								X										
9 MUTUAL QUEST FUND			X										X								X										

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Reporting Individual's Name	SCHEDULE A continued (Use only if needed)	Page Number
Mabus, Raymond E		13 of 20

Assets and Income	Valuation of Assets at close of reporting period													Income: type and amount. If "None (or less than $201)" is checked, no other entry is needed in Block C for that item.															
BLOCK A	BLOCK B													BLOCK C															
														Type				Amount											
	None (or less than $1,001)	$1,001 - $15,000	$15,001 - $50,000	$50,001 - $100,000	$100,001 - $250,000	$250,001 - $500,000	$500,001 - $1,000,000	Over $1,000,000*	$1,000,001 - $5,000,000	$5,000,001 - $25,000,000	$25,000,001 - $50,000,000	Over $50,000,000	Excepted Investment Fund	Excepted Trust	Qualified Trust	Dividends	Rent and Royalties	Interest	Capital Gains	None (or less than $201)	$201 - $1,000	$1,001 - $2,500	$2,501 - $5,000	$5,001 - $15,000	$15,001 - $50,000	$50,001 - $100,000	$100,001 - $1,000,000	Over $1,000,000*	$1,000,001 - $5,000,000	Over $5,000,000	Other Income (Specify Type & Actual Amount)	Date (Mo., Day, Yr.) Only if Honoraria
1 OAKMARK SELECT FUND			X										X							X		X									
2 OSTERWEIS FUND			X										X								X										
3 PRIMECAP ODYSSEY GROWTH FUND			X										X							X											
4 AMERICAN BEACON INTERNATIONAL EQUITY FUND			X										X								X										
5 DODGE & COX GLOBAL STOCK FUND			X										X								X										
6 IVA INTERNATIONAL FUND			X										X								X										
7 OAKMARK GLOBAL SELECT FUND			X										X								X										
8 THORNBURG INTERNATIONAL VALUE FUND			X										X								X										
9 TWEEDY BROWNE WORLDWIDE HIGH DIVIDEND YIELD VALUE FUND			X										X								X										

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Assets and Income	Valuation of Assets at close of reporting period														Income: type and amount. If "None (or less than $201)" is checked, no other entry is needed in Block C for that item.														
BLOCK A	BLOCK B														BLOCK C														
															Type				Amount										
	None (or less than $1,001)	$1,001 - $15,000	$15,001 - $50,000	$50,001 - $100,000	$100,001 - $250,000	$250,001 - $500,000	$500,001 - $1,000,000	Over $1,000,000*	$1,000,001 - $5,000,000	$5,000,001 - $25,000,000	$25,000,001 - $50,000,000	Over $50,000,000	Excepted Investment Fund	Excepted Trust	Qualified Trust	Dividends	Rent and Royalties	Interest	Capital Gains	None (or less than $201)	$201 - $1,000	$1,001 - $2,500	$2,501 - $5,000	$5,001 - $15,000	$15,001 - $50,000	$50,001 - $100,000	$100,001 - $1,000,000	Over $1,000,000*	$1,000,001 - $5,000,000	Over $5,000,000	Other Income (Specify Type & Actual Amount)	Date (Mo., Day, Yr.) Only if Honoraria
1 TWEEDY BROWNE GLOBAL VALUE FUND		X											X								X									
2 SCHWAB U.S. TREASURY MONEY FUND		X											X							X										
3 MS Affordable College Savings Plan Managed Allocation Option Age 8-11		X											X							X										
4 Timberland in Choctaw, Yalobusha, Lafayette, Itawamba, Montgomery and Calhoun Counties										X							X							X					Agricultural payments 14,133	
5 Mutual of New York (Whole Life)		X																		X										
6 Thomas Engine Options 15000@$6 ex 2/8/16, 10,000@$10 exp 2/9/17																														Value not readily ascertainable	
7 Ms Public Employees Retirement System																														Pension Income $21,321	
8 Light on Earth Photography of the World																														Value not readily ascertainable	
9																															

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Do not complete Schedule B if you are a new entrant, nominee, or Vice Presidential or Presidential Candidate

Reporting Individual's Name	SCHEDULE B	Page Number
Mabus, Raymond E		15 of 20

Part I: Transactions

Report any purchase, sale, or exchange by you, your spouse, or dependent children during the reporting period of any real property, stocks, bonds, commodity futures, and other securities when the amount of the transaction exceeded $1,000. Include transactions that resulted in a loss.

Do not report a transaction involving property used solely as your personal residence, or a transaction solely between you, your spouse, or dependent child. Check the "Certificate of divestiture" block to indicate sales made pursuant to a certificate of divestiture from OGE.

None ☐

	Identification of Assets	Transaction Type (x)			Date (Mo., Day, Yr.)	Amount of Transaction (x)										
		Purchase	Sale	Exchange		$1,001 - $15,000	$15,001 - $50,000	$50,001 - $100,000	$100,001 - $250,000	$250,001 - $500,000	$500,001 - $1,000,000	Over $1,000,000*	$1,000,001 - $5,000,000	$5,000,001 - $25,000,000	$25,000,001 - $50,000,000	Over $50,000,000	Certificate of divestiture
	Example: Central Airlines Common	X			2/1/99			X									
1	EEB Guggenheim Bric ETF		X		01/23/12	X											
2	DIA Spdr DJIA Tr ETF		X		08/08/12	X											
3	DIA Spdr DJIA Tr ETF		X		10/26/12	X											
4	EEM Ishares MSCI Emerging Mkts		X		01/04/12	X											
5	IVV Ishares TR S&P 500 Index Fd ETF		X		02/16/12		X										

*This category applies only if the underlying asset is solely that of the filer's spouse or dependent children. If the underlying asset is either held by the filer or jointly held by the filer with the spouse or dependent children, use the other higher categories of value, as appropriate.

Part II: Gifts, Reimbursements, and Travel Expenses

For you, your spouse and dependent children, report the source, a brief description, and the value of: (1) gifts (such as tangible items, transportation, lodging, food, or entertainment) received from one source totaling more than $350 and (2) travel-related cash reimbursements received from one source totaling more than $350. For conflicts analysis, it is helpful to indicate a basis for receipt, such as personal friend, agency approval under 5 U.S.C. § 4111 or other statutory authority, etc. For travel-related gifts and reimbursements, include travel itinerary, dates, and the nature of expenses provided. **Exclude** anything given to you by the U.S. Government; given to your agency in connection with official travel; received from relatives; received by your spouse or dependent child totally independent of their relationship to you; or provided as personal hospitality at the donor's residence. Also, for purposes of aggregating gifts to determine the total value from one source, exclude items worth $140 or less. See instructions for other exclusions.

None ☐

	Source *(Name and Address)*	Brief Description	Value
	Examples: Nat'l Assn. of Rock Collectors, NY, NY	Airline ticket, hotel room & meals incident to national conference 6/15/99 (personal activity unrelated to duty)	$500
	Frank Jones, San Francisco, CA	Leather briefcase (personal friend)	$385
1	Government of Poland	Pewter Stein and Chalice	$379
2			
3			
4			
5			

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Part I: Transactions

	Identification of Assets	Transaction Type (x)			Date (Mo., Day, Yr.)	Amount of Transaction (x)										
		Purchase	Sale	Exchange		$1,001 - $15,000	$15,001 - $50,000	$50,001 - $100,000	$100,001 - $250,000	$250,001 - $500,000	$500,001 - $1,000,000	Over $1,000,000*	$1,000,001 - $5,000,000	$5,000,001 - $25,000,000	$25,000,001 - $50,000,000	Over $50,000,000	Certificate of divestiture
1	IVV Ishares TR S&P Index FD ETF		X		07/16/12	X											
2	IVV Ishares TR S&P Index FD ETF		X		10/16/12		X										
3	IWM Ishares Russell 2000 Index FD ETF		X		05/30/12	X											
4	IWM Ishares Russell 2000 Index FD ETF		X		07/16/12		X										
5	IWM Ishares Russell 2000 Index FD ETF		X		08/08/12	X											
6	IWM Ishares Russell 2000 Index FD ETF		X		10/16/12	X											
7	MOO Market Vectors Agribus. ETF		X		11/02/12		X										X
8	QQQ Powershares QQQ TR Ser 1 ETF		X		02/15/12	X											
9	QQQ Powershares QQQ TR Ser 1 ETF		X		02/16/12	X											
10	QQQ Powershares QQQ TR Ser 1 ETF		X		03/02/12	X											
11	QQQ Powershares QQQ TR Ser 1 ETF		X		05/30/12		X										
12	QQQ Powershares QQQ TR Ser 1 ETF		X		07/16/12	X											
13	QQQ Powershares QQQ TR Ser 1 ETF		X		08/08/12		X										
14	QQQ Powershares QQQ TR Ser 1 ETF		X		08/20/12	X											
15	QQQ Powershares QQQ TR Ser 1 ETF		X		10/26/12	X											
16	VTI Vanguard Total Stock MKT ETF		X		03/02/12	X											

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Do not complete Schedule B if you are a new entrant, nominee, or Vice Presidential or Presidential Candidate

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Part I: Transactions

	Identification of Assets	Transaction Type (x)			Date (Mo., Day, Yr.)	Amount of Transaction (x)											
		Purchase	Sale	Exchange		$1,001 - $15,000	$15,001 - $50,000	$50,001 - $100,000	$100,001 - $250,000	$250,001 - $500,000	$500,001 - $1,000,000	Over $1,000,000*	$1,000,001 - $5,000,000	$5,000,001 - $25,000,000	$25,000,001 - $50,000,000	Over $50,000,000	Certificate of divestiture
1	VTI Vanguard Total Stock MKT ETF		X		02/15/12	X											
2	VTI Vanguard Total Stock MKT ETF		X		01/23/12	X											
3	VTI Vanguard Total Stock MKT ETF		X		05/30/12	X											
4	VTI Vanguard Total Stock MKT ETF		X		06/05/12		X										
5	VTI Vanguard Total Stock MKT ETF		X		08/08/12	X											
6	VTI Vanguard Total Stock MKT ETF		X		08/20/12	X											
7	VTI Vanguard Total Stock MKT ETF		X		10/26/12	X											
8	VTI Vanguard Total Stock MKT ETF		X		10/16/12	X											
9	XLK Technology Sel Sector Spdr FD ETF		X		08/08/12	X											
10	XLK Technology Sel Sector Spdr FD ETF		X		10/26/12	X											
11	XLK Technology Sel Sector Spdr FD ETF		X		10/16/12	X											
12	XLY SEL Sector SPDR Cons Discretion		X		01/04/12	X											
13	DC/ Mississippi Dev. BK SPL OBLIG rfdg-corr fac pj-a-ambac dd 6/1/02 in 4.4% Maty 7/01/2015		X		04/27/12	X											
14	IVV Ishares TR S&P Index FD ETF		X		05/30/12	X											
15	IVV Ishares TR S&P Index FD ETF		X		10/26/12	X											
16	VTI Vanguard Total Stock MKT ETF		X		07/16/12	X											

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Do not complete Schedule B if you are a new entrant, nominee, or Vice Presidential or Presidential Candidate

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Part I: Transactions

	Identification of Assets	Transaction Type (x)			Date (Mo., Day, Yr.)	Amount of Transaction (x)											
		Purchase	Sale	Exchange		$1,001 - $15,000	$15,001 - $50,000	$50,001 - $100,000	$100,001 - $250,000	$250,001 - $500,000	$500,001 - $1,000,000	Over $1,000,000*	$1,000,001 - $5,000,000	$5,000,001 - $25,000,000	$25,000,001 - $50,000,000	Over $50,000,000	Certificate of divestiture
1	QQQ Powershares QQQ TR Ser 1 ETF		X		10/16/12	X											
2	AGTHX American Growth FD of America A		X		04/10/12	X											
3	AWSHX Washington Mutual Investors		X		04/10/12		X										
4	AWSHX Washington Mutual Investors		X		04/10/12	X											
5	AWSHX Washington Mutual Investors		X		04/10/12	X											
6	IVA INTERNATIONAL FUND	X			12/26/12	X											
7	MADISON MOSAIC MID-CAP FUND	X			4/25/12	X											
8	MADISON MOSAIC MID-CAP FUND	X			8/8/2012	X											
9	OAKMARK SELECT FUND	X			10/11/12	X											
10	AMERICAN BEACON INTERNATIONAL EQUITY FUND	X			11/06/12	X											
11	CLIPPER FUND	X			11/06/12	X											
12	CLIPPER FUND	X			12/26/12	X											
13	DODGE & COX STOCK FUND	X			11/06/12	X											
14	FPA PARAMOUNT FUND	X			11/14/12	X											
15																	
16																	

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Reporting Individual's Name	SCHEDULE C	Page Number
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Part I: Liabilities

Report liabilities over $10,000 owed to any one creditor at **any time** during the reporting period by you, your spouse, or dependent children. Check the highest amount owed during the reporting period. **Exclude** a mortgage on your personal residence unless it is rented out; loans secured by automobiles, household furniture or appliances; and liabilities owed to certain relatives listed in instructions. See instructions for revolving charge accounts.

None ☐

	Creditors *(Name and Address)*	Type of Liability	Date Incurred	Interest Rate	Term if applicable	Category of Amount or Value (x) $10,001 - $15,000	$15,001 - $50,000	$50,001 - $100,000	$100,001 - $250,000	$250,001 - $500,000	$500,001 - $1,000,000	Over $1,000,000*	$1,000,001 - $5,000,000	$5,000,001 - $25,000,000	$25,000,001 - $50,000,000	Over $50,000,000
Examples	First District Bank, Washington, DC	Mortgage on rental property, Delaware	1991	8%	25 yrs.			x								
	John Jones, Washington, DC	Promissory note	1999	10%	on demand					x						
1	Morgan Stanley Margin	Security based credit line	2012	3.99%	on demand		X									
2	Metropolitan Bank, Ridgeland, MS	Mortgage on personal residence	2012	4.5%	15 yrs								X			
3																
4																
5																

*This category applies only if the liability is solely that of the filer's spouse or dependent children. If the liability is that of the filer or a joint liability of the filer with the spouse or dependent children, mark the other higher categories, as appropriate.

Part II: Agreements or Arrangements

Report your agreements or arrangements for: (1) continuing participation in an employee benefit plan (e.g. pension, 401k, deferred compensation); (2) continuation of payment by a former employer (including severance payments); (3) leaves of absence; and (4) future employment. See instructions regarding the reporting of negotiations for any of these arrangements or benefits.

None ☐

	Status and Terms of any Agreement or Arrangement	Parties	Date
Example	Pursuant to partnership agreement, will receive lump sum payment of capital account & partnership share calculated on service performed through 1/00.	Doe Jones & Smith, Hometown, State	7/85
1	MS Public Employees Retirement System. Defined Benefit Plan from which I currently receive $21,321 per year. Benefit increases 2% per year for each year that I am retired from MS.	MS Public Employees Retirement System	11/08
2	25,000 vested stock options granted by Thomas Engine Company	Thomas Engine Comapny	4/04
3	2,995 warrants for Fusion Telecommunications International Preferred Stock	Fusion Telecommunications International	4/99
4			
5			
6			

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Part I: Positions Held Outside U.S. Government

Report any positions held during the applicable reporting period, whether compensated or not. Positions include but are not limited to those of an officer, director, trustee, general partner, proprietor, representative, employee, or consultant of any corporation, firm, partnership, or other business enterprise or any non-profit organization or educational institution. **Exclude** positions with religious, social, fraternal, or political entities and those solely of an honorary nature.

None ☐

	Organization *(Name and Address)*	Type of Organization	Position Held	From *(Mo., Yr.)*	To *(Mo., Yr.)*
Examples	Nat'l Assn. of Rock Collectors, NY, NY	Non-profit education	President	6/92	Present
	Doe Jones & Smith, Hometown, State	Law firm	Partner	7/85	1/00
1	REM Strategies LLC, Ridgeland MS (previously dormant now disolved)	Consulting	Managing Member	02/2008	05/2012
2					
3					
4					
5					
6					

Part II: Compensation in Excess of $5,000 Paid by One Source

Do not complete this part if you are an Incumbent, Termination Filer, or Vice Presidential or Presidential Candidate.

Report sources of more than $5,000 compensation received by you or your business affiliation for services provided directly by you during any one year of the reporting period. This includes the names of clients and customers of any corporation, firm, partnership, or other business enterprise, or any other non-profit organization when you directly provided the services generating a fee or payment of more than $5,000. You need not report the U.S. Government as a source.

None ☐

	Source *(Name and Address)*	Brief Description of Duties
Examples	Doe Jones & Smith, Hometown, State	Legal services
	Metro University (client of Doe Jones & Smith), Moneytown, State	Legal services in connection with university construction
1		
2		
3		
4		
5		
6		