

# FINANCIAL DISCLOSURE REPORT FOR CALENDAR YEAR 2018

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>Mullin, Mark X.                                                                                                                      | <b>2. Court or Organization</b><br><br>U.S. Bankruptcy Court, Northern District of Texas                                                                                                                                                                                                 | <b>3. Date of Report</b><br><br>05/11/2019                       |
| <b>4. Title</b> (Article III judges indicate active or senior status; magistrate judges indicate full- or part-time)<br><br>U.S. Bankruptcy Judge                                                         | <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>01/01/2018<br>to<br>12/31/2018 |
| <b>7. Chambers or Office Address</b><br><br>Eldon B. Mahon U.S. Courthouse<br>501 W. 10th Street, Rm. 147<br>Fort Worth, TX 76102-3643                                                                    |                                                                                                                                                                                                                                                                                          |                                                                  |
| <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.              |                                    |
| 2.              |                                    |
| 3.              |                                    |
| 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. 2014     | Haynes and Boone LLP Partners' Retirement Plan (frozen), no control                                                                        |
| 2. 2015     | Haynes and Boone Partners' Cash Balance Plan, no control (rolled over to Ameriprise Brokerage Account on 6-4-2018 -- See Part VII Line 9). |
| 3.          |                                                                                                                                            |

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Mullin, Mark X.

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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. Tarrant County Bankruptcy Bar            | February 26, 2018   | Fort Worth, Texas  | Speaker at lunch meeting                                                              | Lunch                              |
| 2. State Bar of Texas - Bankruptcy Section  | March 13 - 20, 2018 | Florence, Italy    | Moderator/speaker for the 2018 State Bar of Texas - Bkr Section International Seminar | Travel, food, and lodging expenses |
| 3. 28th Annual DFW Area Chapter 13 Seminar  | October 22, 2018    | Hurst, Texas       | Speaker at the 28th Annual DFW Area Chapter 13 Seminar                                | Lunch                              |
| 4. National Conference of Bankruptcy Judges | October 28-31, 2018 | San Antonio, Texas | Attend NCBJ Meetings                                                                  | Hotel                              |

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|--------------------------|----------------|
| Mullin, Mark X.          | 05/11/2019     |

5. \_\_\_\_\_

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

1.

2.

3.

4.

5.

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

1.

2.

3.

4.

5.

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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. Cisco Systems, Inc. Common Stock                                          | A | Dividend  | J | T |                |          |   |  |                               |
| 2. AMG Managers Cadence Mid Cap-Inv                                          | A | Dividend  | J | T |                |          |   |  |                               |
| 3. Mass Investors Growth Stock Fund-A                                        | A | Dividend  | J | T |                |          |   |  |                               |
| 4. Putnam Growth & Income-A                                                  | A | Dividend  | J | T |                |          |   |  |                               |
| 5. Putnam International Value-A                                              | A | Dividend  | J | T |                |          |   |  |                               |
| 6. Invesco American Franchise Fund-Class A-<br>VAFAX                         | A | Dividend  | J | T |                |          |   |  |                               |
| 7. Minnesota Life - Adjustable Life Insurance                                | A | Dividend  | J | T |                |          |   |  |                               |
| 8. Bank of America - Cash Account                                            |   | None      | J | T |                |          |   |  |                               |
| 9. Ameriprise Brokerage Account - AIMMA-<br>tax qualified Retirement Account | A | Int./Div. | L | T | Buy<br>(add'l) | 06/04/18 | K |  | Rollover: see Part II In<br>2 |
| 10. Western Core PL Bond                                                     | E | Int./Div. | O | T |                |          |   |  |                               |
| 11. Santa Barbara DG                                                         | C | Int./Div. | M | T |                |          |   |  |                               |
| 12. Lazard IA                                                                | C | Int./Div. | M | T |                |          |   |  |                               |
| 13. Federated SV                                                             | D | Int./Div. | M | T |                |          |   |  |                               |
| 14. Kayne Andrsn RDNK SC                                                     | B | Int./Div. | M | T |                |          |   |  |                               |
| 15. Mutual Fund - ACMVX - American Century<br>Mid Cap Value CL               | A | Int./Div. | J | T |                |          |   |  |                               |
| 16. Mutual Fund - BSIIX - Blackrock Strategic<br>Income Opptys Instl CL      | A | Int./Div. | J | T |                |          |   |  |                               |
| 17. Mutual Fund - CZMVX Multi MGR Value<br>Strategies CL Z                   | A | Int./Div. | 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 = \$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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## 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. Mutual Fund - CTRZX - Multi MGR Total Return Bond Strategies CL Z    | A | Int./Div. | L | T |      |          |   |  |  |
| 19. Mutual Fund - CZMSX - Multi Manager Small Cap Equity Strategies CL Z | A | Int./Div. | J | T |      |          |   |  |  |
| 20. Mutual Fund - CZMGX Multi Manager Small Cap Equity Strategies CL Z   | A | Int./Div. | J | T |      |          |   |  |  |
| 21. Mutual Fund - CDAZX Multi Manager Directional Alt Strategies CL Z    | A | Int./Div. |   |   | Sold | 02/15/18 | J |  |  |
| 22. Mutual Fund MINIX MFS Intl Value CL I                                | A | Int./Div. |   |   | Sold | 05/21/18 | J |  |  |
| 23. Mutual Fund MEHIX MFS Value CL I                                     | A | Int./Div. | J | T |      |          |   |  |  |
| 24. Mutual Fund - OIGYX Oppenheimer Intl Growth CL Y                     | A | Int./Div. |   |   | Sold | 05/21/18 | J |  |  |
| 25. Mutual Fund - NFRIX Nuveen Symphony Floating Rate Income CL I        | A | Int./Div. | J | T |      |          |   |  |  |
| 26. Mutual Fund - DEUIX Delaware U S Growth Instl CL                     | A | Int./Div. | J | T |      |          |   |  |  |
| 27. Mutual Fund - EMGNX Wells Fargo Emerging Markets Equity Instl CL     | A | Int./Div. | J | T |      |          |   |  |  |
| 28. Mutual Fund - CMIEX Multi Manager Intl Equity Strategies Instl CL    | A | Int./Div. | J | T | Buy  | 05/21/18 | K |  |  |
| 29.                                                                      |   |           |   |   |      |          |   |  |  |

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

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## 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/ **Mark X. Mullin**

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

Committee on Financial Disclosure  
Administrative Office of the United States Courts  
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