

# 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>MULLEN, GRAHAM C.                                                                                                                    | <b>2. Court or Organization</b><br><br>WESTERN DISTRICT OF N.C.                                                                                                                                                                                                                          | <b>3. Date of Report</b><br><br>7/9/2019                         |
| <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>01/01/2018<br>to<br>12/31/2018 |
| <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.)

POSITION

NAME OF ORGANIZATION/ENTITY

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

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

☒ NONE (No reportable agreements.)

DATE

PARTIES AND TERMS

|    |  |
|----|--|
| 1. |  |
| 2. |  |
| 3. |  |

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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.)*DATESOURCE AND TYPEINCOME  
(yours, not spouse's)

1. \_\_\_\_\_

2. \_\_\_\_\_

3. \_\_\_\_\_

4. \_\_\_\_\_

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

1. \_\_\_\_\_

2. \_\_\_\_\_

3. \_\_\_\_\_

4. \_\_\_\_\_

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

1. \_\_\_\_\_

2. \_\_\_\_\_

3. \_\_\_\_\_

4. \_\_\_\_\_

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

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

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

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

|    | <u>CREDITOR</u>  | <u>DESCRIPTION</u> | <u>VALUE CODE</u> |
|----|------------------|--------------------|-------------------|
| 1. | American Express | Gold Card          | J                 |
| 2. | Barclay Card     | MasterCard         | J                 |
| 3. | American Airline | MasterCard         | J                 |
| 4. | Bank of America  | Visa               | J                 |
| 5. |                  |                    |                   |

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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.)

☐ 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                                      | L                                               | T                                         |                                                 |                         |                                 |                                |                                                                   |
| 2. Smith Barney Money Market Fund (See explanation)                                                                         | B                                       | Int./Div.                                     | K                                               | T                                         |                                                 |                         |                                 |                                |                                                                   |
| 3. Smith Barney Money Market Fund (See explanation)                                                                         | A                                       | Int./Div.                                     | J                                               | T                                         |                                                 |                         |                                 |                                |                                                                   |
| 4.                                                                                                                          |                                         |                                               |                                                 |                                           |                                                 |                         |                                 |                                |                                                                   |
| 5. Central Fund - Canada - See explanation.                                                                                 | A                                       | Dividend                                      | K                                               | T                                         |                                                 |                         |                                 |                                |                                                                   |
| 6.                                                                                                                          |                                         |                                               |                                                 |                                           |                                                 |                         |                                 |                                |                                                                   |
| 7. Intel Corp.                                                                                                              | A                                       | Dividend                                      | J                                               | T                                         |                                                 |                         |                                 |                                |                                                                   |
| 8.                                                                                                                          |                                         |                                               |                                                 |                                           |                                                 |                         |                                 |                                |                                                                   |
| 9. Merck & Co.                                                                                                              | A                                       | Dividend                                      | J                                               | T                                         |                                                 |                         |                                 |                                |                                                                   |
| 10.                                                                                                                         |                                         |                                               |                                                 |                                           |                                                 |                         |                                 |                                |                                                                   |
| 11. Proctor & Gamble                                                                                                        | A                                       | Dividend                                      | J                                               | T                                         |                                                 |                         |                                 |                                |                                                                   |
| 12.                                                                                                                         |                                         |                                               |                                                 |                                           |                                                 |                         |                                 |                                |                                                                   |
| 13. Starbucks                                                                                                               | A                                       | Dividend                                      | J                                               | T                                         |                                                 |                         |                                 |                                |                                                                   |
| 14.                                                                                                                         |                                         |                                               |                                                 |                                           |                                                 |                         |                                 |                                |                                                                   |
| 15. Permanent Portfolio                                                                                                     | A                                       | Dividend                                      | J                                               | T                                         |                                                 |                         |                                 |                                |                                                                   |
| 16.                                                                                                                         |                                         |                                               |                                                 |                                           |                                                 |                         |                                 |                                |                                                                   |
| 17. Apple                                                                                                                   | A                                       | Dividend                                      | 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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Name of Person Reporting

MULLEN, GRAHAM C.

Date of Report

7/9/2019

## 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. Goldman Sachs Rising Div                       | C | Int./Div. | J | T |             |          |   |   |  |
| 20.                                                |   |           |   |   |             |          |   |   |  |
| 21. IRA (See explanation)                          |   |           |   |   |             |          |   |   |  |
| 22. -- Loomis Sayles Funds IT Strategic Inc. Fund  | A | Dividend  | J | T | Sold (part) | 12/17/18 | J | A |  |
| 23.                                                |   |           |   |   | Sold (part) | 10/31/18 | J | A |  |
| 24.                                                |   |           |   |   |             |          |   |   |  |
| 25. -- Columbia Contrarian Core Fd Cl Z            | A | Dividend  | J | T | Sold (part) | 01/12/18 | J | A |  |
| 26.                                                |   |           |   |   | Sold (part) | 10/31/18 | J | A |  |
| 27.                                                |   |           |   |   |             |          |   |   |  |
| 28. -- Oppenheimer Int'l Small Co. Fund            | A | Dividend  | J | T | Sold (part) | 10/2/18  | J |   |  |
| 29.                                                |   |           |   |   | Sold (part) | 10/31/18 | J | A |  |
| 30.                                                |   |           |   |   |             |          |   |   |  |
| 31. -- Fidelity Advisor SPR 1 Leveraged Co Hb Fund | A | Dividend  | J | T | Sold (part) | 12/17/18 | J | A |  |
| 32.                                                |   |           |   |   |             |          |   |   |  |
| 33. -- Blackrock Global Allocation                 | A | Dividend  | J | T | Sold (part) | 10/31/18 | J | A |  |
| 34.                                                |   |           |   |   |             |          |   |   |  |

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

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Name of Person Reporting

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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. -- Columbia Select Large Cap Growth Fd      | A | Dividend | J | T | Sold (part) | 07/13/18 | J | A |  |
| 36.                                             |   |          |   |   | Sold (part) | 06/15/18 | J | A |  |
| 37.                                             |   |          |   |   | Sold (part) | 10/31/18 | J | A |  |
| 38.                                             |   |          |   |   | Sold (part) | 12/07/18 | J | A |  |
| 39.                                             |   |          |   |   |             |          |   |   |  |
| 40. -- Delaware Pooled TR Diversified Inc Fd    | A | Dividend | J | T |             |          |   |   |  |
| 41.                                             |   |          |   |   |             |          |   |   |  |
| 42. -- First Eagle Fds Global Fd                | A | Dividend | J | T | Sold (part) | 12/13/18 | J | A |  |
| 43.                                             |   |          |   |   | Sold (part) | 10/31/18 | J | A |  |
| 44.                                             |   |          |   |   |             |          |   |   |  |
| 45. -- Templeton Fds - TR Global Bd Advisor     | A | Dividend | J | T | Sold (part) | 10/31/18 | J | A |  |
| 46.                                             |   |          |   |   |             |          |   |   |  |
| 47. -- MFS - Int'l New Discovery Fd             | A | Dividend | J | T | Sold (part) | 12/11/18 | J | A |  |
| 48.                                             |   |          |   |   | Sold (part) | 10/31/18 | J |   |  |
| 49.                                             |   |          |   |   | Sold (part) | 12/11/18 | J | A |  |
| 50.                                             |   |          |   |   |             |          |   |   |  |
| 51. -- Neuberger Berman Income New Strategic Fd | A | Dividend | J | T | Sold (part) | 10/31/18 | 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 \$50,000,000 | 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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|                                                                                                                             | (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. -- John Hancock Fds II Strategic Income Oppty's | A | Dividend | J | T | Sold (part) | 10/31/18 | J | A |  |
| 54.                                                 |   |          |   |   |             |          |   |   |  |
| 55. -- Paxworld FDS SER TRI-PRXIX                   | A | Dividend | J | T | Sold (part) | 12/20/18 | J | A |  |
| 56.                                                 |   |          |   |   |             |          |   |   |  |
| 57. -- Putnam FDS TR Capital Spectrum FD PVSIX      | A | Dividend | J | T |             |          |   |   |  |
| 58.                                                 |   |          |   |   |             |          |   |   |  |
| 59. -- Undiscovered Mgr Behavioral Val UBVLX        | A | Dividend | J | T | Sold (part) | 10/31/18 | J | A |  |
| 60.                                                 |   |          |   |   |             |          |   |   |  |
| 61. NORTHWESTERN MUTUAL (NML) INSURANCE POLICIES    |   |          |   |   |             |          |   |   |  |
| 62. -- NML Whole Life Policy 1                      | A | Dividend | K | T |             |          |   |   |  |
| 63. -- NML Whole Life Policy 2                      | A | Dividend | K | T |             |          |   |   |  |
| 64. -- NML Whole Life Policy 3                      | A | Dividend | K | T |             |          |   |   |  |
| 65. -- NML Whole Life Policy 4                      | A | Dividend | K | T |             |          |   |   |  |
| 66. -- NML Extraordinary Life Policy 5              | B | Dividend | K | T |             |          |   |   |  |
| 67. -- NML Adjustable Comp Policy 6                 | D | Dividend | L | T |             |          |   |   |  |
| 68. -- NML 65 Life Policy 7                         | A | Dividend | 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 \$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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|-----------------------------------------------------------------------------------------------------------------------------|-----------------------------------------|-----------------------------------------------|-------------------------------------------------|-------------------------------------------|-------------------------------------------------|-------------------------|---------------------------------|--------------------------------|-------------------------------------------------------------------|
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| 69. -- NML 65 Life Policy 8                                                                                                 | A                                       | Dividend                                      | J                                               | T                                         |                                                 |                         |                                 |                                |                                                                   |
| 70. -- NML Whole Life Policy 9                                                                                              | A                                       | Dividend                                      | J                                               | T                                         |                                                 |                         |                                 |                                |                                                                   |
| 71. -- NML Whole Life Policy 10                                                                                             |                                         | None                                          | J                                               | T                                         |                                                 |                         |                                 |                                |                                                                   |
| 72.                                                                                                                         |                                         |                                               |                                                 |                                           |                                                 |                         |                                 |                                |                                                                   |
| 73.                                                                                                                         |                                         |                                               |                                                 |                                           |                                                 |                         |                                 |                                |                                                                   |
| 74. Chart Indus                                                                                                             |                                         | None                                          | J                                               | T                                         |                                                 |                         |                                 |                                |                                                                   |
| 75.                                                                                                                         |                                         |                                               |                                                 |                                           |                                                 |                         |                                 |                                |                                                                   |
| 76. Cousins Properties                                                                                                      | A                                       | Dividend                                      | J                                               | T                                         |                                                 |                         |                                 |                                |                                                                   |
| 77.                                                                                                                         |                                         |                                               |                                                 |                                           |                                                 |                         |                                 |                                |                                                                   |
| 78. Clearbridge Ener MLP (EMO)                                                                                              | A                                       | Dividend                                      | J                                               | T                                         | Sold<br>(part)                                  | 11/20/18                | J                               |                                |                                                                   |
| 79.                                                                                                                         |                                         |                                               |                                                 |                                           |                                                 |                         |                                 |                                |                                                                   |
| 80. Capital Sr. Living                                                                                                      |                                         | None                                          |                                                 |                                           | Sold                                            | 07/30/18                | J                               |                                |                                                                   |
| 81.                                                                                                                         |                                         |                                               |                                                 |                                           |                                                 |                         |                                 |                                |                                                                   |
| 82. First Trust MLP                                                                                                         | A                                       | Dividend                                      | J                                               | T                                         |                                                 |                         |                                 |                                |                                                                   |
| 83.                                                                                                                         |                                         |                                               |                                                 |                                           |                                                 |                         |                                 |                                |                                                                   |
| 84. Freeport McMoran                                                                                                        | A                                       | Dividend                                      | J                                               | T                                         |                                                 |                         |                                 |                                |                                                                   |
| 85.                                                                                                                         |                                         |                                               |                                                 |                                           |                                                 |                         |                                 |                                |                                                                   |

|                                                  |                                                                                                                                          |                                                                                                                                                            |                                                                                                                                                                                         |                                                                                                                                         |                         |
|--------------------------------------------------|------------------------------------------------------------------------------------------------------------------------------------------|------------------------------------------------------------------------------------------------------------------------------------------------------------|-----------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|-----------------------------------------------------------------------------------------------------------------------------------------|-------------------------|
| 1. Income Gain Codes:<br>(See Columns B1 and D4) | A = \$1,000 or less<br>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 | B = \$1,001 - \$2,500<br>G = \$100,001 - \$1,000,000<br>K = \$15,001 - \$50,000<br>O = \$500,001 - \$1,000,000<br>R = Cost (Real Estate Only)<br>V = Other | C = \$2,501 - \$5,000<br>H1 = \$1,000,001 - \$5,000,000<br>L = \$50,001 - \$100,000<br>P1 = \$1,000,001 - \$5,000,000<br>P4 = More than \$50,000,000<br>S = Assessment<br>W = Estimated | D = \$5,001 - \$15,000<br>H2 = More than \$5,000,000<br>M = \$100,001 - \$250,000<br>P2 = \$5,000,001 - \$25,000,000<br>T = Cash Market | E = \$15,001 - \$50,000 |
| 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

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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) |

|                                          |   |          |   |   |                |          |   |  |  |
|------------------------------------------|---|----------|---|---|----------------|----------|---|--|--|
| 86. Sonoma Pharmaceuticals               |   | None     | J | T | Buy<br>(add'l) | 02/01/18 | J |  |  |
| 87.                                      |   |          |   |   | Buy<br>(add'l) | 04/20/18 | J |  |  |
| 88.                                      |   |          |   |   |                |          |   |  |  |
| 89. Wheaton Precious Metals              | A | Dividend | J | T |                |          |   |  |  |
| 90.                                      |   |          |   |   |                |          |   |  |  |
| 91. Shopify                              |   | None     | J | T |                |          |   |  |  |
| 92.                                      |   |          |   |   |                |          |   |  |  |
| 93. iShares Core Int's Stock ETF         | A | Dividend | J | T |                |          |   |  |  |
| 94.                                      |   |          |   |   |                |          |   |  |  |
| 95. Financial Select SPDR Fund           | A | Dividend | J | T |                |          |   |  |  |
| 96.                                      |   |          |   |   |                |          |   |  |  |
| 97. iShares Core Total US Stock          | A | Dividend | J | T |                |          |   |  |  |
| 98.                                      |   |          |   |   |                |          |   |  |  |
| 99. SELF INITIATED AMENDMENT FOR 2017    |   |          |   |   |                |          |   |  |  |
| 100. Amazon                              |   | None     | J | T | Buy            | 06/20/17 | J |  |  |
| 101. Apple (Ref. Line 20 of 2017 Report) | A | Dividend | J | T | Buy<br>(add'l) | 06/20/17 | J |  |  |
| 102.                                     |   |          |   |   |                |          |   |  |  |

|                                                  |                                                                                    |                                                      |                                                                                        |                                                            |                        |
|--------------------------------------------------|------------------------------------------------------------------------------------|------------------------------------------------------|----------------------------------------------------------------------------------------|------------------------------------------------------------|------------------------|
| 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.

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

EXPLANATION OF LINE ITEMS CONTAINED IN PART VII.

Lines 2 and 3 -- Smith Barney Money Market fund includes deposits in that fund which the broker has moved into their Bank Deposit program.

Line 5 -- Central Fund Canada was acquired by Sprott Physical Gold and Silver Trust.

Line 21 -- 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. All dividends are reinvested.

Line 78 -- One account, Clearbridge Energy, was reported on two lines (89 and 97) in the 2017 Report. Correction has been made in this Report.

Line 89 -- Previously Silver Wheaton. Name change by company.

Lines 99, 100, 101 -- SELF-INITIATED AMENDMENT TO THE 2017 REPORT.

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Name of Person Reporting

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Date 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/ 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  
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