

FINANCIAL DISCLOSURE REPORT FOR CALENDAR YEAR 2019

Report Required by the Ethics
in Government Act of 1978
(5 U.S.C. app. §§ 101-111)

1. Person Reporting (last name, first, middle initial) MULLEN, GRAHAM C.	2. Court or Organization WESTERN DISTRICT OF N.C.	3. Date of Report 8/3/2020
4. Title (Article III judges indicate active or senior status; magistrate judges indicate full- or part-time) U.S. DISTRICT JUDGE - SENIOR	5a. Report Type (check appropriate type) ☐ Nomination ☐ Date ☐ Initial ☒ Annual ☐ Final	6. Reporting Period 01/01/2019 to 12/31/2019
	5b. ☐ Amended Report	
7. Chambers or Office Address 230 CHARLES R. JONAS BUILDING 401 WEST TRADE STREET CHARLOTTE, NC 28202		
IMPORTANT NOTES: The instructions accompanying this form must be followed. Complete all parts, checking the NONE box for each part where you have no reportable information.		

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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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

(yours, not spouse's)

1.		
2.		
3.		
4.		

B. Spouse's Non-Investment Income - *If you were married during any portion of the reporting year, complete this section.*

(Dollar amount not required except for honoraria.)



NONE *(No reportable non-investment income.)*

DATE

SOURCE AND TYPE

1.		
2.		
3.		
4.		

IV. REIMBURSEMENTS -- *transportation, lodging, food, entertainment.*

(Includes those to spouse and dependent children; see pp. 25-27 of filing instructions.)



NONE *(No reportable reimbursements.)*

SOURCE

DATES

LOCATION

PURPOSE

ITEMS PAID OR PROVIDED

1.				
2.				
3.				
4.				
5.				

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MULLEN, GRAHAM C.	8/3/2020

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

☒ NONE (No reportable gifts.)

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

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

☐ NONE (No reportable liabilities.)

CREDITOR	DESCRIPTION	VALUE CODE
1. American Express	Gold Card	J
2. Barclay Card	MasterCard	J
3. American Airline	MasterCard	J
4.		
5.		

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Name of Person Reporting

MULLEN, GRAHAM C.

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

☐ NONE (No reportable income, assets, or transactions.)

A Description of Assets (including trust assets) Place "(X)" after each asset exempt from prior disclosure	B Income during reporting period		C Gross value at end of reporting period		D Transactions during reporting period				
	(1) Amount Code 1 (A-H)	(2) Type (e g , div , rent, or int)	(1) Value Code 2 (J-P)	(2) Value Method Code 3 (Q-W)	(1) Type (e g , buy, sell, redemption)	(2) Date mm/dd/yy	(3) Value Code 2 (J-P)	(4) Gain Code 1 (A-H)	(5) Identity of buyer/seller (if private transaction)
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. CEF - 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: (See Columns B1 and D4)	A =\$1,000 or less F =\$50,001 - \$100,000	B =\$1,001 - \$2,500 G =\$100,001 - \$1,000,000	C =\$2,501 - \$5,000 H1 =\$1,000,001 - \$5,000,000	D =\$5,001 - \$15,000 H2 =More than \$5,000,000	E =\$15,001 - \$50,000
2 Value Codes (See Columns C1 and D3)	J =\$15,000 or less N =\$250,001 - \$500,000 P3 =\$25,000,001 - \$50,000,000	K =\$15,001 - \$50,000 O =\$500,001 - \$1,000,000	L =\$50,001 - \$100,000 P1 =\$1,000,001 - \$5,000,000 P4 =More than \$50,000,000	M =\$100,001 - \$250,000 P2 =\$5,000,001 - \$25,000,000	
3 Value Method Codes (See Column C2)	Q =Appraisal U =Book Value	R =Cost (Real Estate Only) V =Other	S =Assessment W =Estimated	T =Cash Market	

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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					
23.									
24.									
25. -- Columbia Contrarian Core Fd Cl Z	A	Dividend	J	T	Sold (part)	12/03/19	J	A	
26.									
27. -- Oppenheimer Int'l Small Co. Fund	A	Dividend	J	T	Sold (part)	12/03/19	J		
28.									
29. -- Fidelity Advisor SPR 1 Leveraged Co Hb Fund	A	Dividend	J	T	Sold (part)	12/03/19	J	A	
30.					Sold (part)	11/11/19	J	A	
31.									
32. -- Blackrock Global Allocation	A	Dividend	J	T	Sold (part)	12/03/19	J	A	
33.									
34. -- Columbia Select Large Cap Growth Fd	A	Dividend	J	T	Sold (part)	12/03/19	J	A	

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2 Value Codes (See Columns C1 and D3)	J =\$15,000 or less N =\$250,001 - \$500,000 P3 =\$25,000,001 - \$50,000,000	K =\$15,001 - \$50,000 O =\$500,001 - \$1,000,000	L =\$50,001 - \$100,000 P1 =\$1,000,001 - \$5,000,000 P4 =More than \$50,000,000	M =\$100,001 - \$250,000 P2 =\$5,000,001 - \$25,000,000	
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35.									
36. -- Delaware Pooled TR Diversified Inc Fd	A	Dividend	J	T	Sold (part)	12/03/19	J	A	
37.					Sold (part)	10/11/19	J	A	
38.									
39. -- First Eagle Fds Global Fd	A	Dividend	J	T	Sold (part)	12/03/19	J	A	
40.									
41. -- Templeton Fds - TR Global Bd Advisor	A	Dividend	J	T					
42.									
43. -- MFS - Int'l New Discovery Fd	A	Dividend	J	T	Sold (part)	12/03/19	J	A	
44.									
45. -- Neuberger Berman Income New Strategic Fd	A	Dividend	J	T	Sold (part)	12/03/19	J	A	
46.									
47. -- John Hancock Fds II Strategic Income Opptys	A	Dividend	J	T	Sold (part)	12/03/19	J	A	
48.									
49. -- Paxworld FDS SER TRI-PRSIX	A	Dividend	J	T	Sold (part)	12/03/19	J	A	
50.					Sold (part)	07/12/19	J	A	
51.									

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	(1)	(2)	(1)	(2)	(1)	(2)	(3)	(4)	(5)
	Amount Code 1 (A-H)	Type (e g , div , rent, or int)	Value Code 2 (J-P)	Value Method Code 3 (Q-W)	Type (e g , buy, sell, redemption)	Date mm/dd/yy	Value Code 2 (J-P)	Gain Code 1 (A-H)	Identity of buyer/seller (if private transaction)
52. -- Putnam FDS TR Capital Spectrum FD PVSXX	A	Dividend	J	T					
53.									
54. -- Undiscovered Mgr Behavioral Val UBVLX	A	Dividend	J	T					
55.									
56. NORTHWESTERN MUTUAL (NML) INSURANCE POLICIES									
57. -- NML Whole Life Policy 1	A	Dividend	K	T					
58. -- NML Whole Life Policy 2	A	Dividend	K	T					
59. -- NML Whole Life Policy 3	A	Dividend	K	T					
60. -- NML Whole Life Policy 4	A	Dividend	K	T					
61. -- NML Extraordinary Life Policy 5	B	Dividend	K	T					
62. -- NML Adjustable Comp Policy 6	D	Dividend	L	T					
63. -- NML 65 Life Policy 7	A	Dividend	J	T					
64. -- NML 65 Life Policy 8	A	Dividend	J	T					
65. -- NML Whole Life Policy 9	A	Dividend	J	T					
66. -- NML Whole Life Policy 10	A	Dividend	J	T					
67.									
68. Chart Indus		None	J	T					

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69.									
70. Cousins Properties	A	Dividend	J	T	Sold (part)	06/14/19	J	A	
71.									
72. Clearbridge Ener MLP (EMO)	A	Dividend	J	T					
73.									
74. First Trust MLP	A	Dividend	J	T					
75.									
76. Freeport McMoran	A	Dividend	J	T					
77.									
78. Sonoma Pharmaceuticals		None	J	T	Sold (part)	06/19/19	J		
79.									
80. Wheaton Precious Metals	A	Dividend	J	T					
81.									
82. Shopify		None	K	T					
83.									
84. iShares Core Int's Stock ETF	A	Dividend	J	T					
85.									

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	(1)	(2)	(1)	(2)	(1)	(2)	(3)	(4)	(5)
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86. Financial Select SPDR Fund	A	Dividend	J	T					
87.									
88. iShares Core Total US Stock	A	Dividend	J	T					
89.									

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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 - symbol remains CEF.

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 80 -- Previously Silver Wheaton. Name change by company.

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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
Administrative Office of the United States Courts
Suite 2-301
One Columbus Circle, N.E.
Washington, D.C. 20544