

FINANCIAL DISCLOSURE REPORT FOR CALENDAR YEAR 2013

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 6/2/2014
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 5b. ☐ Amended Report	6. Reporting Period 01/01/2013 to 12/31/2013
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.)

<u>POSITION</u>	<u>NAME OF ORGANIZATION/ENTITY</u>
1. Honorary Life Member	Duke University Law School Board of Visitors
2. Member HOA Board	Royal Crest Home Owners
3.	
4.	
5.	

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

☒ NONE (No reportable agreements.)

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

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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.			
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. 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	K	T					
2.									
3. Smith Barney Money Market Fund (See explanation)	C	Int./Div.	K	T					
4.									
5. Smith Barney Money Market Fund (See explanation)	A	Dividend	J	T					
6.									
7. Central Fund - Canada	A	Dividend	K	T					
8.									
9. Intel Corp.	A	Dividend	J	T					
10.									
11. Merck & Co.	A	Dividend	J	T					
12.									
13. Proctor & Gamble	A	Dividend	J	T					
14.									
15. General Electric	A	Dividend	J	T					
16.									
17. Chart Indus		None	J	T					

1. Income Gain Codes: (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 = \$250,001 - \$500,000	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 \$5,000,000	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. TEVA Pharmaceuticals (See SELF-INITIATED AMENDMENT, Line 148)	A	Dividend	J	T					
20.									
21. IRA (See explanation)	B	Dividend	K	T					
22. -- Loomis Sayles Funds IT Strategic Inc. Fund					Sold (part)	11/07/13	J		
23.									
24. -- Oppenheimer Int'l Bond Fund					Sold (part)	11/21/13	J		
25.									
26. -- Oppenheimer Int'l Small Co Fund					Sold (part)	11/07/13	J		
27.					Sold (part)	11/21/13	J		
28.									
29. -- Satuit Cap Micro Cap Fund					Sold (part)	01/14/13	J		
30.					Sold (part)	07/15/13	J		
31.					Sold (part)	11/21/13	J		
32.									
33. -- Oppenheimer Gold & Sp. Minerals					Sold (part)	11/21/13	J		
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		
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(See Column C2)	U = Book Value	V = Other	W = Estimated		

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

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35. -- Fidelity Advisor SPR 1 Leveraged Co Hb Fund					Sold (part)	11/21/13	J		
36.									
37. -- Permanent Portfolio Fd									
38.									
39. -- Blackrock Global Allocation					Sold (part)	11/21/13	J		
40.									
41. -- Columbia Select Large Cap Growth Fd					Sold (part)	11/07/13	J		
42.									
43. -- Delaware Pooled TR Diversified Inc Fd									
44.									
45. -- First Eagle Fds Global Fd					Sold (part)	01/14/13	J		
46.					Sold (part)	11/07/13	J		
47.					Sold (part)	11/21/13	J		
48.									
49. -- Yacktman Fd					Sold (part)	11/07/13	J		
50.									
51. -- Pimco Fds - Total Return Fd					Sold (part)	11/21/13	J		

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52.									
53. -- Pimco AllAsset AllAuthority					Buy (add'l)	11/21/13	J		
54.									
55. -- Royce Premier Fd					Sold (part)	11/21/13	J		
56.									
57. -- Templeton Fds - TR Global Bd Advisor					Sold (part)	11/21/13	J		
58.									
59. -- MFS - Int'l New Discovery Fd					Sold (part)	11/21/13	J		
60.									
61. -- JP Morgan Core Bond FD Select									
62.									
63. -- Neuberger Berman Income New Strategic Fd					Sold (part)	11/21/13	J		
64.									
65.									
66. Hondo Minerals Corp		None	J	T					
67.									
68. ISORAY		None	J	T					

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69.									
70. Valero Energy	A	Dividend			Sold	02/06/13	J	B	
71.									
72. Mosaic	A	Dividend	J	T	Sold (part)	05/14/13	J		
73.									
74. GDX Goldminers ETF	A	Dividend			Sold	04/18/13	J		
75.									
76.									
77.									
78.									
79. NORTHWESTERN MUTUAL (NML) INSURANCE POLICIES									
80. -- Whole Life XXX113	A	Dividend	K	T					
81.									
82. -- NML Whole Life XXX188	A	Dividend	K	T					
83.									
84. -- NML Whole Life XXX510	B	Dividend	K	T					
85.									

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86. -- NML Whole Life XXX698	B	Dividend	K	T					
87.									
88. -- NML Extraord. Life 403	B	Dividend	K	T					
89.									
90. -- NML Adjustable Comp XXX100	C	Dividend	K	T					
91.									
92. -- NML 65 Life 913	A	Dividend	J	T					
93.									
94. -- NML 65 Life 473	A	Dividend	J	T					
95.									
96. -- NML Whole Life 437	A	Dividend	J	T					
97.									
98. -- NML Whole Life 800		None	J	T					
99.									
100.									
101.									
102.									

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103. Select SPDR Energy	A	Dividend	J	T					
104.									
105. Prudent Bear Fund		None	J	T					
106.									
107. Eldorado Gold	A	Dividend			Sold	01/18/13	J		
108.									
109. Click Software Tech.		None	J	T					
110.									
111. Chart Indus		None	J	T	Sold (part)	03/08/13	J	C	
112.									
113. Nanoviricides		None	J	T					
114.									
115. Neural Stem Inc.		None	J	T					
116.									
117. International Stem Cell Corp.		None	J	T					
118.									
119. Galectin Therapeutics		None	J	T					

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120.									
121. Brigus Gold		None	J	T					
122.									
123. Inovio Pharmaceuticals		None	J	T					
124.									
125. Argentex Mining		None	J	T					
126.									
127. CenturyLink Inc.	A	Dividend			Sold	03/08/13	J		
128.									
129. Mast Therapeutics		None	J	T					
130.									
131. Alliance Grain Traders		None	J	T					
132.									
133. Clearbridge Energy (EMO)	A	Dividend	J	T					
134.									
135.									
136. First Trust Cloud Computing	A	Dividend			Sold	05/07/13	J		

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137.									
138. Star Scientific		None	J	T	Sold	04/18/13	J		
139.					Buy	07/26/13	J		
140.									
141. Parkway Properties, formerly Thomas PPTY GRP. (See explanation.)		None	J	T					
142.									
143.									
144.									
145. SELF-INITIATED AMENDMENT, line 146 (See explanation)									
146. Star Scientific		None	J	T	Sold (part)	10/18/12	J	A	
147.									
148. SELF-INITIATED AMENDMENT, line 149 (See explanation)									
149. TEVA Pharmaceuticals	A	Dividend	J	T	Buy	06/28/12	J		
150.									
151.									
152.									
153.									

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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Name of Person Reporting

MULLEN, GRAHAM C.

Date of Report

6/2/2014

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)
154.									
155.									
156.									
157.									
158.									
159.									
160.									

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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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 3 and 5 - Smith Barney Money Market fund includes deposits in that fund which the broker has moved into their Bank Deposit program.

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. This income is aggregated and not reported for each separate fund.

Line 141 - Parkway Properties was initially purchased as Thomas PPTY Group. Thomas PPTY Group was acquired by Parker Property on 12/20/2013.

SELF-INITIATED AMENDMENTS TO THE 2012 REPORT.

Line 146 - Star Scientific was listed as "Sold" in 2012. However, it should have been listed as Sold (part).

Line 149 - TEVA Pharmaceuticals was inadvertently omitted in 2012.

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Name of Person Reporting

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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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