

FINANCIAL DISCLOSURE REPORT FOR CALENDAR YEAR 2016

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 12/15/2017
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 01/01/2016 to 12/31/2016
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. 10/16/16	Sold Personal Property	\$630.00
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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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.	BB&T	Visa	J
3.	USAA	MasterCard	J
4.	Barclay Card	MasterCard	J
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. Starbucks	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 = \$250,000,001 - \$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 \$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	A	Dividend	J	T					
20.									
21. Permanent Portfolio	A	Dividend	J	T					
22.									
23. Apple	A	Dividend	J	T					
24.									
25. Goldman Sachs Rising Div	A	Dividend	J	T					
26.									
27. IRA (See explanation)									
28. -- Loomis Sayles Funds IT Strategic Inc. Fund	A	Dividend	J	T					
29.									
30. -- Columbia Contrarian Core Fd Cl Z	A	Dividend	J	T					
31.									
32. -- Oppenheimer Int'l Small Co. Fund	A	Dividend	J	T					
33.									
34. -- Fidelity Advisor SPR 1 Leveraged Co Hb Fund	A	Dividend	J	T					

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35.									
36. -- Blackrock Global Allocation	A	Dividend	J	T					
37.									
38. -- Columbia Select Large Cap Growth Fd	A	Dividend	J	T					
39.									
40. -- Delaware Pooled TR Diversified Inc Fd	A	Dividend	J	T					
41.									
42. -- First Eagle Fds Global Fd	A	Dividend	J	T					
43.									
44.									
45.									
46. -- Templeton Fds - TR Global Bd Advisor	A	Dividend	J	T					
47.									
48. -- MFS - Int'l New Discovery Fd	A	Dividend	J	T					
49.									
50. -- Neuberger Berman Income New Strategic Fd	A	Dividend	J	T					
51.									

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52. -- John Hancock Fds II Strategic Income Opptys	A	Dividend	J	T					
53.									
54. -- Paxworld FDS SER TRI-PRSEX	A	Dividend	J	T					
55.									
56. -- Putnam FDS TR Capital Spectrum FD PVSIX	A	Dividend	J	T					
57.									
58. -- Undiscovered Mgr Behavioral Val UBVLX	A	Dividend	J	T					
59.									
60.									
61.									
62. ISORAY		None			Sold	10/26/16	J		
63.									
64. Mosaic	A	Dividend	J	T					
65.									
66.									
67.									
68.									

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69. NORTHWESTERN MUTUAL (NML) INSURANCE POLICIES									
70. -- Whole Life [REDACTED]	A	Dividend	K	T					
71.									
72. -- NML Whole Life [REDACTED]	A	Dividend	K	T					
73.									
74. -- NML Whole Life [REDACTED]	B	Dividend	K	T					
75.									
76. -- NML Whole Life [REDACTED]	B	Dividend	K	T					
77.									
78. -- NML Extraord. Life [REDACTED]	B	Dividend	K	T					
79.									
80. -- NML Adjustable Comp [REDACTED]	D	Dividend	L	T					
81.									
82. -- NML 65 Life [REDACTED]	A	Dividend	J	T					
83.									
84. -- NML 65 Life [REDACTED]	A	Dividend	J	T					
85.									

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86. -- NML Whole Life	A	Dividend	J	T					
87.									
88. -- NML Whole Life		None	J	T					
89.									
90.									
91.									
92. Chart Indus		None	J	T					
93.									
94. Nanoviricides		None			Sold	12/02/16	J		
95.									
96. International Stem Cell Corp.		None			Sold	12/02/16	J		
97.									
98. Galectin Therapeutics		None			Sold	12/02/16	J		
99.									
100. Mast Therapeutics		None			Buy (add'l)	03/02/16	J		
101.					Sold (part)	10/26/16	J		
102.					Sold	12/02/16	J		

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103.									
104. Alliance Grain Traders (AGXXF)	A	Dividend	J	T					
105.									
106. Clearbridge Energy (EMO)	A	Dividend	J	T					
107.									
108. Parkway Properties (merged with Cousins Properties on October 7, 2016)	A	Dividend	J	T					
109.									
110. Blackstone Group	A	Dividend	J	T					
111.									
112. Twitter		None			Sold	02/22/16	J		
113.									
114. Iconix Brand		None	J	T					
115.									
116. Clearbridge Ener MLP	A	Dividend	J	T					
117.									
118. US Global Inv	A	Dividend	J	T					
119.									

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120. Capital Sr. Living		None	J	T					
121.									
122. First Trust MLP	A	Dividend	J	T					
123.									
124. Freeport McMoran	A	Dividend	J	T					
125.									
126. Northfield Bank	A	Dividend	J	T					
127. Oculus Innovative Sciences (name change Sonoma Pharmaceuticals)		None	J	T					
128. Anthera Pharm		None			Sold	12/02/16	J		
129.									
130. Silver Wheaton	A	Dividend	J	T					
131.									
132. Morgan Stanley Discretionary Account (See Explanation.)	A	Dividend			Sold	09/09/16	J		
133.									
134.									
135. Coach	A	Dividend			Sold	03/03/16	J		
136.									

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137. S&W Seed		None	J	T					
138.									
139. Synergy Pharm		None			Buy	02/22/16	J		
140.					Sold	12/02/16	J		
141.									

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	

FINANCIAL DISCLOSURE REPORT

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Name of Person Reporting

MULLEN, GRAHAM C.

Date of Report

12/15/2017

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 27 - 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. All dividends are reinvested. There are no partial sales or buys for 2016.

Line 132 - Per instruction via e-mail from the Financial Disclosure Office, Morgan Stanley Discretionary Account is listed rather than individual stocks that do not exceed \$1,000.

AMENDMENT.

Line 44 - The Yachtman Fd does not appear in our current Account. We are attempting to find out when it was sold and will file an Amendment when we have that information .

SELF INITIATED AMENDMENT FOR 2016 AND 2015.

Line 44 - The Yachtman Fund has been removed. This was SOLD on 03/30/15. Value code J.

FINANCIAL DISCLOSURE REPORT

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Name of Person Reporting	Date of Report
MULLEN, GRAHAM C.	12/15/2017

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
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One Columbus Circle, N.E.
Washington, D.C. 20544