AO 10
Rev. 1/2022

FINANCIAL DISCLOSURE REPORT FOR CALENDAR YEAR 2021

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)	2. Court or Organization	3. Date of Report
MULLEN, GRAHAM C.	WESTERN DISTRICT OF N.C.	7/28/2022
4. Title (Article III judges indicate active or senior status; magistrate judges indicate full- or part-time)	**5a. Report Type (check appropriate type)**	**6. Reporting Period**
U.S. DISTRICT JUDGE - SENIOR	☐ Nomination Date ☐ Initial ☑ Annual ☐ Final **5b.** ☐ Amended Report	01/01/2021 **to** 12/31/2021

7. Chambers or Office Address

401 WEST TRADE STREET
SUITE 7300
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 Guide to Judiciary Policy, Volume 2D, Ch. 3, § 345 Trustees, Executors, Administrators, and Custodians; § 350 Power of Attorney; § 355 Outside Positions.)*

☐ 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 Guide to Judiciary Policy, Volume 2D, Ch. 3, § 340 Agreements and Arrangements)*

☑ NONE *(No reportable agreements.)*

	DATE	PARTIES AND TERMS
1.		
2.		
3.		

III. NON-INVESTMENT INCOME. *(Reporting individual and spouse; see Guide to Judiciary Policy, Volume 2D, Ch. 3, § 320 Income; § 360 Spouses and Dependent Children.)*

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
1.		
2.		
3.		
4.		

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

(Includes those to spouse and dependent children; see Guide to Judiciary Policy, Volume 2D, Ch. 3, § 330 Gifts and Reimbursements; § 360 Spouses and Dependent Children.)

☑ NONE *(No reportable reimbursements.)*

	SOURCE	DATES	LOCATION	PURPOSE	ITEMS PAID OR PROVIDED
1.					
2.					
3.					
4.					
5.					

V. GIFTS. *(Includes those to spouse and dependent children; see Guide to Judiciary Policy, Volume 2D, Ch. 3, § 330 Gifts and Reimbursements; § 360 Spouses and Dependent Children.)*

☑ NONE *(No reportable gifts.)*

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

VI. LIABILITIES. *(Includes those of spouse and dependent children; see Guide to Judiciary Policy, Volume 2D, Ch. 3, § 335 Liabilities; § 360 Spouses and Dependent Children.)*

☐ NONE *(No reportable liabilities.)*

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

Name of Person Reporting	Date of Report
MULLEN, GRAHAM C.	7/28/2022

VII. INVESTMENTS and TRUSTS *-- income, value, transactions (Includes those of spouse and dependent children; see Guide to Judiciary Policy, Volume 2D, Ch. 3, § 310 Reporting Thresholds for Assets; § 312 Types of Reportable Property; § 315 Interests in Property; § 320 Income; § 325 Purchases, Sales, and Exchanges; § 360 Spouses and Dependent Children; § 365 Trusts, Estates, and Investment Funds.)*

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

A	B		C		D				
Description of Assets (including trust assets)	Income during reporting period		Gross value at end of reporting period		Transactions during reporting period				
Place "(X)" after each asset exempt from prior disclosure	(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)	
1. BRANCH BANK & TRUST CO. (Bank Accounts)	A	Interest	K	T					
2. Smith Barney Money Market Fund	B	Int./Div.	K	T					
3. Smith Barney Money Market Fund	A	Int./Div.	J	T					
4. American Express Savings	A	Interest	K	T					
5. CEF	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. Apple	A	Dividend	J	T					
16.									
17. Amazon		None	K	T					

1 Income Gain Codes: (See Columns B1 and D4) — 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; 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 (See Columns C1 and D3) — J =$15,000 or less; K =$15,001 - $50,000; L =$50,001 - $100,000; M =$100,001 - $250,000; 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 (See Column C2) — Q =Appraisal; R =Cost (Real Estate Only); S =Assessment; T =Cash Market; U =Book Value; V =Other; W =Estimated

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

A	B		C		D				
Description of Assets (including trust assets)	Income during reporting period		Gross value at end of reporting period		Transactions during reporting period				
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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)	11/17/21	J	A	
26.					Sold (part)	10/08/21	J	A	
27. -- Oppenheimer Int'l Small Co. Fund	A	Dividend	J	T					
28.									
29. -- Fidelity Advisor SPR 1 Leveraged Co Hb Fund	A	Dividend	J	T	Sold (part)	11/17/21	J	A	
30.									
31.									
32. -- Blackrock Global Allocation	A	Dividend	J	T					
33.									
34. -- Columbia Select Large Cap Growth Fd	A	Dividend	J	T	Sold (part)	11/17/21	J	A	

1 Income Gain Codes: (See Columns B1 and D4)	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
	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 (See Columns C1 and D3)	J =$15,000 or less	K =$15,001 - $50,000	L =$50,001 - $100,000	M =$100,001 - $250,000	
	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	
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Description of Assets (including trust assets)	Income during reporting period		Gross value at end of reporting period		Transactions during reporting period				
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35.									
36. -- Delaware Pooled TR Diversified Inc Fd	A	Dividend	J	T					
37.									
38.									
39. -- First Eagle Fds Global Fd	A	Dividend	J	T					
40.									
41. -- Templeton Fds - TR Global Bd Advisor	A	Dividend	J	T					
42.									
43. -- MFS - Int'l New Discovery Fd	A	Dividend	J	T					
44.									
45. -- Neuberger Berman Income New Strategic Fd	A	Dividend	J	T					
46.									
47. -- John Hancock Fds II Strategic Income Opptys	A	Dividend	J	T					
48.									
49. -- Paxworld FDS SER TRI-PRSIX	A	Dividend	J	T	Sold (part)	11/17/21	J	A	
50.									
51.									

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52. -- Putnam FDS TR Capital Spectrum FD PVSYX	A	Dividend	J	T					
53.									
54. -- Undiscovered Mgr Behavioral Val UBVLX	A	Dividend	J	T	Sold (part)	11/17/21	J	A	
55.									
56. NORTHWESTERN MUTUAL (NML) INSURANCE POLICIES									
57. -- NML Whole Life Policy 1	A	Dividend	K	T					
58. -- NML Whole Life Policy 2	B	Dividend	K	T					
59. -- NML Whole Life Policy 3	B	Dividend	K	T					
60. -- NML Whole Life Policy 4	B	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.									

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69.									
70. Cousins Properties	A	Dividend	J	T					
71.									
72.									
73.									
74.									
75.									
76. Freeport McMoran	A	Dividend	K	T					
77.									
78. Sonoma Pharmaceuticals		None	J	T					
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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86. Financial Select SPDR Fund	A	Dividend	J	T					
87.									
88. iShares Core Total US Stock	A	Dividend	J	T					
89. Apple	A	Dividend	J	T					
90. Johnson & Johnson		None	K	T					

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

EXPLANATION OF LINE ITEMS CONTAINED IN PART VII.

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.

Name of Person Reporting	Date of Report
MULLEN, GRAHAM C.	7/28/2022

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 G-330
One Columbus Circle, N.E.
Washington, D.C. 20544