AO 10
Rev. 3/2023

FINANCIAL DISCLOSURE REPORT FOR CALENDAR YEAR 2022

Report Required by the Ethics in Government Act of 1978 (5 U.S.C. app. §§ 13101-13111)

1. Person Reporting (last name, first, middle initial)	2. Court or Organization	3. Date of Report
MULLEN, GRAHAM C.	WESTERN DISTRICT OF N.C.	01/22/2024
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	01/01/2022 **to** 12/31/2022
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.	01/22/2024

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. Truist Bank (Bank Accounts)	A	Interest	K	T					
2. Smith Barney Money Market Fund	B	Int./Div.	J	T					
3. Smith Barney Money Market Fund	A	Int./Div.	K	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			Sold	04/27/22	J	B	
14. Workhorse		None			Sold	04/27/22	J	A	
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				
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)	
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			Sold	12/23/22	J	A	
23.									
24.									
25. -- Columbia Contrarian Core Fd Cl Z	A	Dividend			Sold	12/23/22	J	A	
26.									
27. -- Oppenheimer Int'l Small Co. Fund	A	Dividend			Sold	12/23/22	J	A	
28.									
29. -- Fidelity Advisor SPR 1 Leveraged Co Hb Fund	A	Dividend			Sold	12/23/22	J	A	
30.									
31.									
32. -- Blackrock Global Allocation	A	Dividend			Sold	12/23/22	J	A	
33.									
34. -- Columbia Select Large Cap Growth Fd	A	Dividend			Sold	12/23/22	J	A	

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

A	B		C		D				
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35.									
36. -- Delaware Pooled TR Diversified Inc Fd	A	Dividend			Sold	12/23/22	J	A	
37.									
38.									
39. -- First Eagle Fds Global Fd	A	Dividend			Sold	12/23/22	J	A	
40.									
41. -- Templeton Fds - TR Global Bd Advisor	A	Dividend			Sold	12/23/22	J	A	
42.									
43. -- MFS - Int'l New Discovery Fd	A	Dividend			Sold	12/23/22	J	A	
44.									
45. -- Neuberger Berman Income New Strategic Fd	A	Dividend			Sold	12/23/22	J	A	
46.									
47. -- John Hancock Fds II Strategic Income Opptys	A	Dividend			Sold	12/23/22	J	A	
48.									
49. -- Paxworld FDS SER TRI-PRSIX	A	Dividend			Sold	12/23/22	J	A	
50.									
51.									

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A Description of Assets (including trust assets) Place "(X)" after each asset exempt from prior disclosure	B Income during reporting period (1) Amount Code 1 (A-H)	B (2) Type (e g , div , rent, or int)	C Gross value at end of reporting period (1) Value Code 2 (J-P)	C (2) Value Method Code 3 (Q-W)	D Transactions during reporting period (1) Type (e g , buy, sell, redemption)	D (2) Date mm/dd/yy	D (3) Value Code 2 (J-P)	D (4) Gain Code 1 (A-H)	
52. -- Putnam FDS TR Capital Spectrum FD PVSYX	A	Dividend			Sold	12/23/22	J	A	
53.									
54. -- Undiscovered Mgr Behavioral Val UBVLX	A	Dividend			Sold	12/23/22	J	A	
55. American Value Fund		None	K	T	Buy	12/25/22	K		
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	M	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. CF Industries	A	Dividend	J	T	Buy	04/25/22	J		
72.									
73.									
74. Cresent Energy	A	Dividend	J	T	Buy	03/02/22	J		
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	A	Int./Div.	J	T					
91.									
92.									
93.									
94. Self initiated amendment to Part VII 2020 Annual Report									
95. Workhorse		None	J	T	Buy	06/30/20	J		
96.									
97. Self initiated amendment to Part VII 2021 Annual Report									
98. Workhorse		None	J	T					
99.									
100.									
101.									

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

EXPLANATION OF LINE ITEMS CONTAINED IN PART VII.

Line 1: Truist is the result of a merger of Branch Bank & Trust Co. and Suntrust Bank.
Lines 2 and 3: Both Lines 2 & 3 are reported as Smith Barney for part of 2022. Both were transferred to Northwastern Mutual, one completely, the other partially. See Lines 91 & 92
Lines 91 and 92: The two Northwestern Mutual accounts have been deleted, as they were reported in error. All assets in these deleted accounts are included in Part VII.

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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. § 13141 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. § 13106)

Committee on Financial Disclosure
Administrative Office of the United States Courts
Suite G-330
One Columbus Circle, N.E.
Washington, D.C. 20544